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**THE OECD CONTROL SYSTEM  
FOR TRANSFRONTIER MOVEMENTS OF WASTES DESTINED  
FOR RECOVERY OPERATIONS  
GUIDANCE MANUAL**

**ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT**

**Paris 1995**

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## **FOREWORD**

The OECD Member countries have been concerned with the control of transfrontier movements of hazardous wastes since the beginning of the 1980's. It has been the object of several Council Acts which were adopted as an evolving process between 1984 and 1992. This work contributed significantly to the creation of relevant European Community directives, and to the preparation of the Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, adopted in Basel on 22nd March 1989 under the auspices of the United Nations Environment Programme.

In March 1992 the OECD Member countries resolved to create and fully implement an international mechanism to control transfrontier movements of wastes destined for recovery operations within the OECD area. Council Decision C(92)39/FINAL was adopted as a multilateral agreement under Article 11 of the Basel Convention. It classifies wastes to be recovered into one of three categories - the green, amber and red lists -, specifies the control regime which should apply for each and, more generally, contains the necessary provisions to develop what is now referred to as the OECD Control System. This Guidance Manual has been written as an aide to the use of the System.

This Manual is for guidance purposes only and primarily is intended for use by competent authorities in OECD Member countries concerned with transfrontier movement of wastes. It does not replace the OECD Council Decision C(92)39/FINAL or any national legislation. If in any doubt on specific points in the Manual, please refer directly to the Decision, a national competent authority, or the OECD Secretariat.

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ANNEX F	List of Competent Authorities, Specific National Regulations and Other Relevant Information ( <i>also including the amendments to the lists of wastes set out in Decision C(92)39/FINAL, adopted after 1st January 1995</i> ).
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## **1.0 INTRODUCTION**

Improper handling and disposal of hazardous wastes can lead to serious risks to human health and the environment. Countries have implemented large and costly systems of control to mitigate the potential hazards created by the improper disposal of such wastes. One aspect of this problem concerns hazardous wastes that are generated in one country and exported to another country.

Many countries are already making efforts to cooperate and to minimize the possibilities of problems occurring from the transfrontier movements of waste. The Member countries of the Organisation for Economic Cooperation and Development (OECD) have unanimously resolved to create and fully implement an international mechanism to control transfrontier movements of wastes intended for recovery within the OECD area. They adopted on March 30, 1992, the *Decision Concerning the Control of Transfrontier Movements of Wastes Destined for Recovery Operations* C(92)39/FINAL. The Decision contains the provisions of this mechanism, hereafter referred to as the OECD System. The Decision is appended in its entirety in ANNEX A.

The Decision designates three "tiers" of wastes according to their potential to create a hazard: the Green, Amber, and Red Tiers. The Decision requires control of transfrontier movements of Amber and Red Tier wastes - which are defined as hazardous, but requires no controls for Green Tier wastes destined for recovery operations other than those normally applied to commercial transactions. The Decision creates a system of notification of the

"concerned countries" (exporting and importing countries and any countries of transit involved in a transfrontier movement of wastes) for any movement of controlled wastes in the OECD area. The OECD System ensures that sufficient information is provided to importing and transit countries, in order that they may decide to allow or forbid designated wastes to be imported or transported through their territory.

Formal implementation of the OECD System can only be through national legislation which has to be promulgated in Member countries. This Guidance Manual has been written as an aide to the use of the System, to provide an understanding of the way that the System is intended to function, and to support the regulatory authorities ("competent authorities") who have jurisdiction over transfrontier movements in OECD Member countries, thereby ensuring a uniform application of the OECD System in Member countries.

It is intended that this Manual will aid the competent authorities of Member countries to determine who is subject to the requirements, and will define the responsibilities of regulated parties for transfrontier movements of wastes destined for recovery. The Manual identifies the types of wastes subject to the OECD System and the major provisions and requirements of the System. Examples are provided to illustrate applications of the provisions. The Annexes contain useful references concerning implementation of the System, including: the two major Council Decisions relating to the OECD System - one of which contains the Green, Amber, and Red lists of wastes; a sample contract; and the notification and movement/tracking forms with instructions on their completion. The list of competent authorities in OECD countries, specific national regulations and other relevant information are included in an Annex issued separately.

A brief treatment of the background and purpose of the OECD System and its consequent development are presented.



## 1.1 Background

The OECD has concerned itself with the issue of transfrontier movement of hazardous wastes since the early 1980's and has worked to develop appropriate measures to exercise control over such movements. The OECD has also contributed to the creation of relevant European Community directives<sup>1</sup>, and to the preparation of the United Nations Environment Programme global convention<sup>2</sup> adopted in Basel in March of 1989.

The Basel Convention is of particular relevance since it seeks to formalize a baseline of appropriate measures concerning the transfrontier movements of hazardous wastes throughout the world. It incorporates the essence of the early OECD efforts in exercising control over transfrontier movements of hazardous waste and reaffirms that transfrontier movements of hazardous wastes may create serious hazards to human health and the environment if not properly monitored and controlled.

## 1.2 Development of the OECD System

The OECD System entered into force on March 30, 1992, to control the movements of hazardous waste across international boundaries within the OECD area that are intended for recovery. The System is to be implemented in Member countries through the enactment of national legislation. Consequently, some difficulties may arise in the initial stages of implementation of the System depending on the varying effective dates of the legislation.

Four OECD Council Acts were crucial in laying the groundwork for and establishing principles which were later incorporated into the OECD System. They are described below.

On 1 February 1984 the OECD Council adopted the **Decision-Recommendation C(83)180**, which instructs Member countries to control transfrontier movements of hazardous waste. Member countries "shall ensure that the competent authorities of the countries concerned are provided with adequate and timely information" regarding the type of waste and planned movement of the waste, to ensure sound management of such movements. This Decision did not provide for operational action for OECD Member countries, but did establish many of the principles on which the Basel Convention was based.

On 5 June 1986 the OECD Council adopted the **Decision-Recommendation C(86)64**, which binds Member countries to empower their competent authorities to prohibit the export of hazardous wastes to non-OECD countries in appropriate instances. The Decision instructs that controls on such transfrontier movements to non-Member countries must be at least as strict as controls governing movements to Member countries. Such movements must be formally approved by the importing (non-Member) country. Finally, the Decision provides that movements of hazardous wastes to non-Member countries must be prohibited if the waste disposal facility within the jurisdiction of the non-Member country is considered to be unsuitable.

The Council adopted Decision **C(88)90** on 27 May 1988, in which the terms "waste" and "disposal" are defined in the context of transfrontier movements of hazardous waste. Member countries agreed to control a certain number of wastes which all of them considered hazardous. A "core list" of hazardous wastes to be controlled was thus developed and is an essential part of this Decision. The Decision further provided that all other wastes, not mentioned in the "core list", but considered to be hazardous in the exporting or importing Member country, are also subject to controls. Decision C(88)90 preceded the Basel Convention, and its major elements were incorporated into the Convention. Due to its importance and frequent reference in this Manual, this Decision is appended in its entirety in ANNEX B.

The Council adopted **Decision-Recommendation C(90)178**, on 31 January 1991. This Decision requires that wastes which are not destined for recovery operations be disposed of to the extent possible in the territory of the Member country in which the waste is generated, "consistent with environmentally sound and efficient management practices." The Decision provided that Member countries should develop disposal capacity for wastes that currently can not be managed within their territory. Where this is not possible, countries are encouraged to provide for environmentally sound management of these wastes through bilateral or regional plans agreed at governmental level. The Decision also called for a system that controls transfrontier movements of wastes being transported to recovery facilities. This Decision was the legal basis for Decision C(92)39, which established the OECD System.

### 1.3 Amendments to the OECD System

Since its adoption by the OECD Council on 30 March 1992, Decision C(92)39 was amended twice: on 23 July 1993 and on 28-29 July 1994 with respect to the lists of wastes [Decisions C(93)74 and C(94)153], and on 28-29 July 1994 to include the Document for Transfrontier Movements of Wastes [Decision C(94)154].

Council Decision C(88)90 was also amended on 28-29 July 1994 [with Decision C(94)152] to make its definition Tables conform to those in the Basel Convention.

These various amendments are incorporated in the version of C(92)39 and C(88)90 given in Annex A and Annex B respectively.

Amendments to the OECD Control System occurring subsequent to the publication of this Guidance Manual will be reported through the separately issued ANNEX F.

## 2.0 GENERAL DESCRIPTION OF THE OECD SYSTEM

The OECD System is applicable to all transfrontier movements of wastes destined for recovery operations<sup>3</sup> within the OECD Area. The System does not apply to wastes destined for disposal and applies only to OECD Member countries. The wastes destined for recovery operations must go to a facility which is operating or is authorized to operate in the importing country under applicable domestic law. All such transfrontier movements shall be carried out under the terms of applicable international transport agreements.

The OECD System does not apply to the movement of hazardous waste outside of the OECD area. However, any such movements shall be subject to all relevant international and national laws and regulations (e.g. Basel Convention), as well as the OECD Decision C(86)64 mentioned in Section 1.2.

Those wastes that are subject to the OECD System are described in Sections 4, 6, 7 and 8 of this Manual. The OECD System has created three lists of wastes which are intended to be exclusive and which have been set up according to the degree of hazard they could present. Hence, if a waste is listed "Green" it is considered not to be hazardous and thus is not controlled by the OECD System. Green listed waste are only subject to existing controls for commercial transactions.

If a waste is listed "Amber" or "Red", it is considered to be hazardous, and thus is subject to the OECD System. In such cases all parties involved in the movement have prescribed responsibilities that must be met for the movement to be approved by the countries concerned. The parties that may be affected include: waste generators, waste exporters and importers, waste transporters, operators of recovery facilities, competent authorities for waste of exporting, importing and transit countries and the OECD Secretariat. They are described in Section 3.1.

Specific details relating to planned transfrontier movement of Amber or Red listed waste to recovery facilities, must be transmitted to the appropriate competent authorities of concerned countries using the OECD notification form. This form requires information, in particular, on:

- ! the nature of the waste;
- ! details regarding the generator and the notifier;
- ! details regarding the waste recipient;
- ! the proposed fate of the waste; and
- ! the existence of a legal contract between parties, including arrangements for any required insurance or financial guarantees.

The competent authorities can use this information to identify the parties involved in the shipment and to decide whether the proposed transfrontier movement is in accord with existing national legislation. If no difficulties are identified, then either tacit or written consent may be granted for the transfrontier movement. However, if an objection is raised by one of the competent authorities of the concerned countries, the transfrontier movement cannot legally be carried out until the objection is satisfactorily resolved.

If the transfrontier movement is approved by the competent authorities of the concerned countries, then shipment may proceed. A tracking form which contains specific details relating to the consignment, must accompany it until it reaches the recovery facility. The tracking form is used to confirm that wastes that have been shipped, actually arrive at the designated recovery facility.

Upon acceptance of the consignment by the recovery facility, an authorized representative has the responsibility of sending the completed and signed tracking form to all competent authorities and the notifier. This provides them with a record of the fate of all hazardous wastes legally exported from, transported through, or imported into their country.

A simplified procedure for pre-consent has also been established for designated recovery facilities which regularly receive a specific type of waste. In this case, movements of this particular type of waste to the designated facility can proceed without any further consent from the importing country. A notification form must however be received by the competent authorities of all concerned countries prior to dispatch of the consignment. Authorization for this "pre-consent" procedure may be granted by the competent authority of any importing country.

### 3.0 OPERATION OF THE OECD SYSTEM

Once the OECD Decision has been incorporated into national legislation of OECD Member countries, the modus operandi of the System becomes the next important priority. The fundamental basis for the application of the System is the procedure for the notification of transfrontier movements of waste. However, before describing this procedure in detail, it is essential to understand the responsibilities of parties, the contractual obligations required, the document used in the procedure, and other shipping requirements that are necessary for the smooth operation of the System. These components are described in this section.

#### 3.1 Who is Affected by the OECD System?

Those persons or parties within the jurisdiction of an OECD Member country<sup>4</sup> who are involved with a transfrontier movement of waste destined for recovery, are legally bound to comply with national laws which reflect the requirements of the OECD System and all other applicable laws and regulations.

The **generator or original producer**<sup>5</sup> whose activities create waste that is intended for transfrontier movement going to recovery, is the first party that may be subject to the System. If two or more batches of wastes are mixed before being moved and recovered, and/or otherwise subjected to physical or chemical operations which render the original wastes indistinguishable or inseparable in the resulting mixture, the party or parties who perform(s) these operations is (are) considered to be the generator of the new wastes resulting from these operations. The generator may or may not be the notifier. Note that generators have obligations to comply with procedural requirements of the System if acting as the notifier.

The **notifier or exporter**<sup>6</sup>, is regarded as the key party under the OECD System. The notifier, who must be under the legal jurisdiction of the state or country of export or dispatch<sup>7</sup>, is the person who has or will have at the time that the planned transfrontier movement commences, possession or other forms of legal control of the wastes. The notifier is the party who proposes transfrontier movement of wastes for the ultimate purpose of submitting them to recovery operations in another OECD country. In some Member countries, according to national legislation, the competent authority may transmit the notification in lieu of the notifier.

The **consignee or importer**<sup>8</sup>, is the party to whom possession or some other form of legal control of the waste is assigned at the time the waste is received in the state or country of import or destination<sup>9</sup>. The consignee arranges for hazardous wastes to be imported and must be under the legal jurisdiction of the country of import. The consignee may also be the operator of a recovery facility.

A **recognized trader** is the party who, with appropriate authorization<sup>10</sup> of concerned countries, acts in the role of principal to purchase and subsequently sell wastes. This party has legal control of such wastes and may act to arrange and facilitate transfrontier movements of wastes destined for recovery operations. A recognized trader may act as the notifier, the carrier (the party that transports hazardous wastes), or the consignee and must comply with the respective procedural requirements.

The **competent authorities** of the exporting, importing and transit countries are the regulatory authorities appointed by national governments, who have jurisdiction over transfrontier movements of wastes destined for recovery operations in their respective countries. A list of national competent authorities within the OECD System appears in ANNEX F. The competent authorities will receive and process the notification forms, and object to any movements that are contrary to their national legislation. The competent authority of the country of import has the **extra responsibility** of returning an acknowledgement of receipt of the duly completed notification form to the notifier and the competent authorities of the countries of export and transit.

The **Review Mechanism** is a body made up of representatives of Member countries that is charged with recommending possible modifications to the Green, Amber and Red lists of wastes. This includes the reassignment of wastes that are already listed and the addition of new wastes to these lists (see section 5.2).

The **OECD Secretariat** acts as a repository and a distributor of information regarding the System.

#### 3.2 The Document for the Transfrontier Movement of Wastes

The OECD System requires prior notification of each movement of hazardous waste that is destined for recovery within the OECD Area. The OECD Document for Transfrontier Movement of Wastes is to be used to notify competent authorities in concerned OECD Member countries of all such movements and, subsequently, to accompany the movement. Competent authorities in countries will issue this document which consists of two forms: the notification form and the movement/tracking form (hereafter referred to as the tracking form). An example of the two page document is included as Annex C with instructions for its completion being included in Annex D. Only one type of waste is intended to be notified per form. However, some countries allow the use of a single notification form to cover a number of different wastes. In this case, the required information is to be provided as described in the instructions (ANNEX D).

The notification form and its annexes are designed to provide detailed, accurate and complete information on the parties involved with the movement, on the waste itself, on the recovery operations to be performed, and on other details relating to the proposed movement. This information will allow the competent authorities to make informed judgement on whether to object or consent to the movement according to their national legislation.

### 3.3 Contracts

The OECD System requires the existence of a valid written contract or chain of contracts, starting with the notifier and terminating at the recovery facility, prior to any transfrontier movement of hazardous waste. Contracts should confirm that the transporters, traders, and recovery facilities operate under the legal jurisdiction of OECD Member countries and have appropriate legal status. They must be licensed or otherwise authorized, approved, or "recognized" by the competent authorities in those OECD Member countries to transport, trade, or perform required recovery operations on the waste.

The parties to a contract must ensure that the contract complies with the minimum OECD and national requirements. The involved parties must be aware that in some OECD Member countries competent authorities may impose additional requirements concerning the contracts. For example, the involved parties may be required to submit the contracts (or portions thereof) to the competent authorities for review. Refer to ANNEX F for the list of competent authorities and other relevant information.

In cases where the competent authorities are required by national legislation to review contracts between parties participating in such agreements, these authorities must inform the OECD Secretariat. In the case of movements to a pre-authorised facility, notification information and the contracts or portions of contracts for which review is required, must arrive at least seven (7) days prior to the dispatch of the consignment to allow proper review of the document(s).

The assignment of legal responsibility and liability in contracts for any adverse consequences resulting from mishandling, accidents or any other unforeseen events, assists the competent authorities in identifying the responsible parties at any given moment, in accordance with national and international regulations. The contract should also specify which party shall assume responsibility for alternative management in cases where the original terms of the contract are not fulfilled. Such alternative management could include alternate transport, recycling, disposal or other means for environmentally sound management of the waste.

Contracts shall include provisions for financial guarantees in accordance with applicable national and international law requirements. These guarantees are intended to provide funds for alternative management of the waste in cases where shipment and recovery cannot be carried out as originally intended. These guarantees may take the form of an insurance policy, bank letters, bonds, or other promise of compensation for damage.

Guidelines for the preparation of contracts for transfrontier movements of waste destined for recovery operations are included in ANNEX E. However, national regulations may apply different requirements with regard to the contents of the contract.

### 3.4 International Shipping Standards

For all wastes subject to the OECD System packing, labelling, and transport of the wastes must be arranged in accordance with generally accepted and recognized international rules, standards and practices, and any applicable international transport agreements. The UN publication, "Recommendations of the United Nations Concerning Transport of Dangerous Goods" (the so-called Orange Book), provides basic details on these requirements. A list of international transport agreements for various modes of transport, is included as Appendix 1 in ANNEX A.

#### 4.0 IDENTIFICATION OF WASTES SUBJECT TO CONTROL BY THE OECD SYSTEM

The OECD System applies only to **wastes** which are destined for **recovery operations**<sup>11</sup> within the **OECD area**. Wastes destined for **final disposal** - including those described on the OECD lists - are not subject to this System. Those wastes destined for final disposal are subject to different legal control. Similarly, radioactive wastes which are subject to other legislation specifically designed to control radioactive materials are not subject to the System.

Identification of wastes to be controlled by the System is schematically shown in Figure 1.

This section defines and describes those wastes which are subject to the OECD System and the formulation of the Green, Amber and Red Lists of wastes.

##### 4.1 What is a Waste?

In the context of transfrontier movements, OECD Council Decision C(88)/90 broadly defines wastes as materials intended for disposal operations. This is shown in Table 2 of the Decision where "disposal" is separated into operations of final disposal and resource recovery.

The OECD Decision does not apply to products<sup>12</sup>. If there is any doubt as to whether a material should be regarded as a waste destined for recovery operations or a product, such questions should be directed to the competent authorities listed in ANNEX F.

##### 4.2 The OECD Lists<sup>13</sup> of Wastes

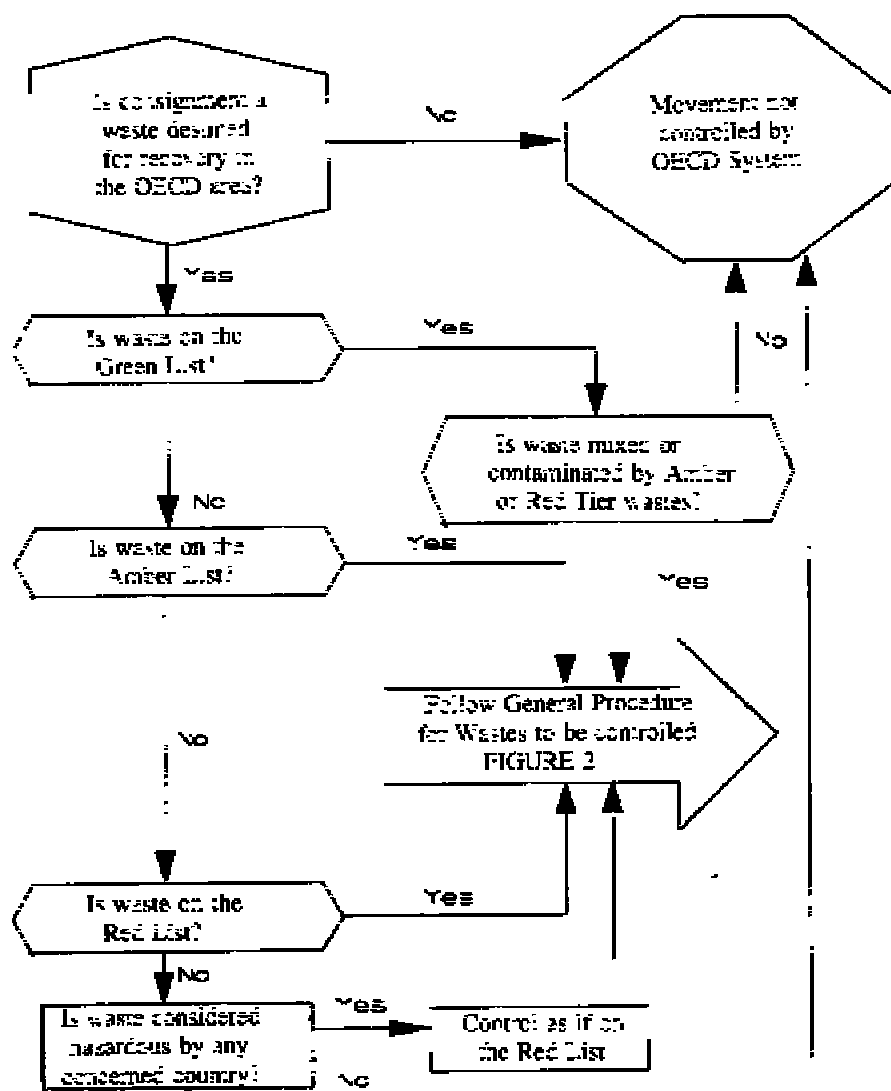
The OECD System separates wastes into three tiers of progressively prescriptive procedures for transfrontier movements. They are referred to as the Green, Amber and Red Tiers, which are listed in appendices 3, 4 and 5 to Decision C(92)39 (see ANNEX A). The choice to classify these wastes in one of these "tiers" is based on the examination by the Review Mechanism of specific criteria<sup>14</sup> such as the physical and chemical properties of the waste, its hazardous characteristics and hence the management regime required.

**Green Tier wastes** destined for recovery operations typically do not show hazardous characteristics and **no control is required from the OECD System**, which establishes procedures only for transfrontier movements of hazardous wastes.

On the other hand, both **Amber and Red Tier wastes** have been determined by OECD Member countries typically to exhibit characteristics which are regarded as hazardous. Consequently, they **are subject to the OECD Control System** and their transfrontier movements have to be notified to the competent authorities of concerned countries. Amber Tier wastes, however, are treated less stringently than Red Tier wastes by the OECD System; this is due to the fact that Amber Tier wastes present a lower degree of risk than Red Tier wastes. Also, considerable experience in recovery operations has been gained for Amber Tier wastes which are frequently subject to transfrontier movements.



FIGURE 1  
Identification of wastes to be  
controlled by the OECD System



## 5.0 DEALING WITH EXCEPTIONS

### 5.1 Exceptions to the OECD Lists

Allowances have been made in the Decision for Member countries to classify wastes in a different manner than the OECD lists if this is required by their national legislation or according to their national testing procedures. The following examples show how such cases are dealt with under the System. Regional agreements, e.g. EC Regulation, may however contain different requirements.

#### **Exception 1 - OECD List : Green - Importing Country List : Red or Amber**

Green Tier wastes may be controlled as Amber or Red Tier wastes by some countries. The country which imports a Green Tier waste (therefore not subject to the OECD Control System) but which defines it as a hazardous waste, is responsible for the notification of the movement. This means that the **importer/consignee assumes the role of the notifier** either by sending the notification form to the competent authorities of concerned countries, or by requesting<sup>15</sup> that the party responsible for exporting the waste fills out the notification form and sends it.

#### **Exception 2 - OECD List : Red or Amber - Exporting/Importing Country List : Green**

In some cases, wastes listed as Amber or Red in the OECD System when subjected to national testing procedures applicable in the exporting or importing country may not exhibit any hazardous characteristics. In such cases the notification duties are to be undertaken by parties in the country where the wastes are considered hazardous.

The OECD Secretariat must be kept informed of the two preceding exceptions so that it can promptly circulate this information to all Member countries (see ANNEX F).

#### **Exception 3 - Waste Not Appearing on any List**

Pending assignment to a list, national legislation of the concerned countries shall regulate the transfrontier movement. However, if the waste is considered hazardous by the competent authorities of any of the concerned countries, then any movements of that waste will fall under the control of the Red Tier of the OECD System until it has been evaluated and listed by the OECD Review Mechanism (see Section 5.2). As in the case of exceptions 1 & 2, if only one country considers the waste to be hazardous, the notification responsibility shifts to the relevant parties in that country.

### 5.2 Procedures for Modifying Green, Amber and Red Tier Lists - the OECD Review Mechanism

A Review Mechanism has been established by the OECD in order to evaluate the current placement of some wastes on the Green, Amber, or Red lists, and to assess the placement of "new" wastes to one of these three lists. A temporary working party struck from the OECD Member countries reviews applications for listing modifications. Detailed information in support of such modifications are submitted to the OECD by Member governments, or by any interested party if supported by a Member government, preferably on a specific application form. This form is based on the criteria set out in Annex 2 to Decision C(92)39 (see ANNEX A) and is available from the OECD Secretariat. Modifications to the lists of wastes are effective when approved by the OECD Council.

### 5.3 Movements which Cannot be Completed as Intended

In cases where the movement cannot be completed as intended, the party that has possession of the waste must immediately inform the notifier and the competent authorities of the countries of import and export. If the consignment is located in a country of transit, then the competent authority of that country must also to be immediately informed.

In such cases, alternative management and control arrangements, or return of the wastes to the generator if necessary, must be arranged. The basic principle is to hold the generator responsible for his or her waste until recovery takes place. However, there may be a chain of responsible parties specified in the contract for such alternative management.

On a case by case basis, the competent authorities of the concerned countries shall cooperate to ensure that all necessary arrangements are made, transport documents are obtained, and action taken, within a limited time period, in order to ensure the best alternative management of the waste. Concerned countries must not oppose, hinder or prevent the return of the consignment to the country of export.

## 6.0 TRANSFRONTIER MOVEMENTS OF GREEN TIER WASTE

Green Tier wastes are listed in Appendix 3 to Decision C(92)39 (see ANNEX A). Details on the management of Green Tier wastes under the OECD System are given below.

### 6.1 How Green Tier Wastes Are Handled Under the OECD System

**Green Tier wastes** destined for recovery operations typically do not exhibit hazardous characteristics and have been deemed to pose negligible risks during transfrontier movement. Also Green Tier wastes must not be contaminated by other materials at a concentration which would cause them to exhibit hazardous characteristics and thereby require that they be handled under Amber or Red Tier procedures. Green Tier wastes therefore **are not controlled directly under the OECD System**, which establishes procedures only for transfrontier movements of hazardous wastes. However, Green Tier wastes must go only to a facility which, under applicable national law, is operating or is authorized to operate in the importing country. Their movement is also subject to terms of applicable international transport agreements and other existing controls normally applied in commercial transactions.

### 6.2 Example 1 - Movement of a Green Tier Waste

Example 1 gives data and information for a hypothetical movement of Wine Lees, which is listed as a Green Tier waste, between two OECD Member countries.

Green Valley Vineyards, which is within the legal jurisdiction of Country A wishes to send wine lees, to Agro Waste Ltd. which is within the legal jurisdiction of Country B. Wine lees is a waste produced in the wine-making process, which can be processed to allow its use for agricultural purposes. Country A shares a common border with Country B, so the waste will be transported by truck directly from Country A to Country B. Green Valley Vineyards selects Independent Shipping Company, a company operating within the legal jurisdiction of Country A, as the transporter and agent for the consignment. Since the consignment has been declared not to have been mixed with any other materials containing hazardous constituents, and consequently is not covered by the OECD System, only national and international controls for normal commercial transactions apply.

### Example 1

Exporting Country:	Country A (OECD Member)
Importing Country:	Country B (OECD Member)
Transit Countries:	None
Waste Description:	Wine lees
Physical State:	Wet solid material
Transfrontier Transport:	Truck
Generator:	Green Valley Vineyards (Country A)
Carrier:	Independent Shipping Company (Country A)
Consignee:	Agro Waste Ltd. (Country B)
Recovery Facility:	Agro Waste Ltd. (Country B)
Recovery Technology:	Land treatment for agricultural purposes
Contact with other substances:	Not contaminated or mixed with any materials that would cause the waste to be classified as Amber or Red

## 7.0 TRANSFRONTIER MOVEMENTS OF AMBER TIER WASTE

Amber Tier wastes consist of substances that typically exhibit one or more hazardous characteristics<sup>16</sup>. As with the analogy of Amber signal lights in traffic control, Amber Tier wastes destined for recovery operations may proceed across borders with due caution, within the specified notification rules of the OECD System. Amber Tier wastes are listed in Appendix 4 to Decision C(92)39 (see ANNEX A).

### 7.1 How Amber Tier Wastes are Handled Under the OECD System

Within the OECD area, **all transfrontier movements of OECD Amber Tier listed wastes require written notification of the competent authorities of all concerned countries**. This notification procedure allows national competent authorities to object to a transfrontier movement in accordance with their domestic laws.

Two "cases" exist within the Amber control system:

Case 1) Movement requiring specific consent; and

Case 2) Movement for which pre-consent has already been granted (pre-authorised facility).

For each case, the notification can be a single one if it covers a single shipment, or a general one if it covers a series of shipments of wastes which have similar physical and chemical characteristics, which are sent by the same notifier, and which are destined to the same recovery facility. These two main cases are further illustrated below.

### 7.2 Case 1 - Movement Requiring Specific Consent

#### 7.2.1 *Notification Procedure for Movement Requiring Specific Consent - Single Shipment*

Every single movement of Amber Tier wastes sent to a recovery facility is governed by specific requirements for the concerned parties (see Figure 2 for general procedure for wastes to be controlled). The notification procedure for a single movement of Amber Tier waste is as follows:

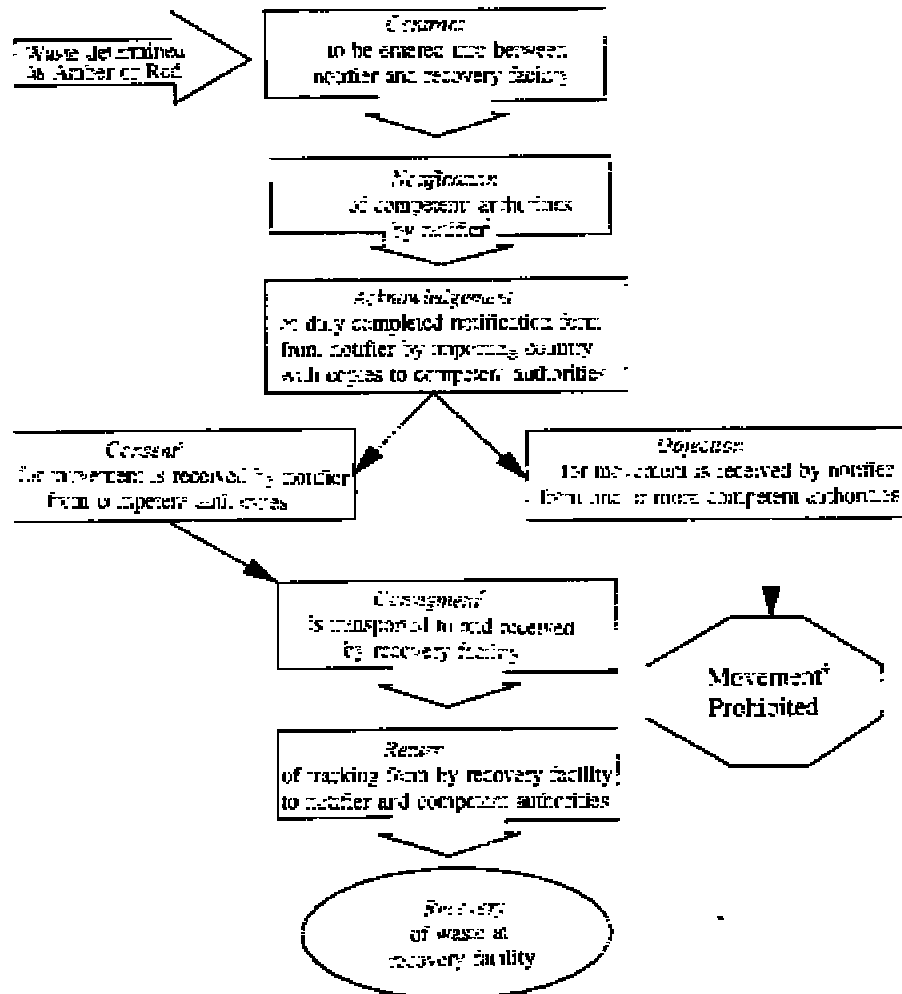
#### Step 1 - Contract

Movements of Amber Tier wastes may occur only under the terms of a valid written contract or chain of contracts starting with the notifier and terminating at the recovery facility. Contracts must have been entered into prior to sending the notification to concerned countries (see Section 3.3).

#### Step 2 - Notification

Before the transfrontier movement can take place, the notifier must have provided written notification of the proposed movement to the competent authorities of the concerned countries. Notification is effected using the OECD notification form illustrated in ANNEX C and described in Section 3.2. Instructions on how to fill it out are provided in ANNEX D. The notification form must be completed by the notifier and delivered to the competent authorities of all concerned countries for each proposed transfrontier movement of waste going to recovery.

**FIGURE 2**  
**General Procedure for Notification of**  
**Wastes to be Controlled**



1. Authorities of Importing, Exporting, and possibly Transit countries.
2. In some Member countries the competent authority may transmit notification form in lieu of the notifier.
3. Tick or written consent for Amber Waste. Written ONLY for Red Waste.
4. Unfit, objection is filed or an alternative waste is found in case of rejection by the transit country.
5. Accompanied by a tracking form.

The notifier submits a notification form in triplicate to the competent authority of the importing country, and in duplicate to the competent authorities of the exporting country and, if applicable, any transit country.

According to national laws in some OECD Member countries, the notifier may be required to submit the notification only to the competent authority of the exporting country. The exporting country competent authority will then transmit the notification to the competent authorities of the other concerned countries.

### Step 3 - Acknowledgement

The acknowledgement consists of the return of the notification form with Block 24 completed. The competent authority of the importing country must transmit this acknowledgement of receipt of the duly completed notification form to the notifier, with copies to the competent authorities of the other concerned countries, within three (3) working days of receiving the notification.

If the notification form is deemed unacceptable due to errors or omissions, the competent authority informs the notifier within three (3) working days, that the acknowledgement will be delayed until such time that the notifier provides the essential information.

### Step 4A - Consent

A movement may proceed only if it has received consent from the competent authorities of all concerned countries. This consent may be given in one of the following two ways for Amber Tier wastes. Either:

#### 4A-1 *Tacit Consent*

If no objection has been lodged by any of the concerned countries within thirty days, this is referred to as **tacit consent**. This thirty day period begins with the date of the issuance of the acknowledgement by the importing country (see Step 3).

#### 4A-2 *Written Consent*

If written authorization is received from all concerned countries within the 30-day period, this is referred to as **written consent**. Written consent is effected by the competent authority returning a copy of the notification form with block 25 completed, thus indicating a consent to the proposed movement. Conditions to the consent of a movement may be given in Block 26 or in an annexed letter by the competent authorities of concerned countries.

### Step 4B - Objection

If competent authorities decide to prohibit a movement of an Amber Tier waste, they **MUST** submit a written objection to the notifier within thirty days of the date that the acknowledgement was returned. **If a written objection to the movement has been lodged by any of the concerned countries during the thirty-day period, shipment may not proceed until this objection has been lifted** or, in the case of an objection by a transit country, an alternative route is found and accepted.



A competent authority may submit a written objection to a transfrontier movement within thirty days by returning a copy of the notification form to the notifier and the competent authorities of the countries concerned, with block 25 crossed out and marked "OBJECTION". Block 26 on the reverse of the form or an annexed letter may be used to give explanations regarding the objection.

#### Step 5 - Shipment

Once the necessary consent has been granted, shipment may proceed after the notifier completes the tracking form. This form is illustrated in ANNEX C with instructions on how to fill it out in ANNEX D. The tracking form must accompany the consignment at all times until it reaches the recovery facility. Shipment must be completed within one calendar year of the date of tacit or written consent, unless otherwise specified in the written consent.

If more than one carrier is used for a shipment, transfer of the consignment to the new carrier must be recorded on the tracking form. Each successive carrier must retain a photocopy of the tracking form giving appropriate information on the carrier to whom the consignment was released.

Unless otherwise stated on the notification form, it is not expected that the consignment will need to be stored during its transport to the recovery facility. However, if the consignment needs to be stored for unexpected reasons during transport, the carrier is to advise the notifier immediately. In turn the notifier will advise the competent authorities of concerned countries of the unforeseen need for temporary storage and the estimated date of onward movement.

#### Step 6 - Return of Tracking Form

On receipt of a consignment at the designated recovery facility, a duly authorised representative of the facility must acknowledge receipt of the consignment by completing Block 24 of the tracking form which accompanies the waste. A signed copy of the completed form must be handed to the last carrier. Within three (3) working days of receipt of the consignment, individually signed copies of the tracking form must be forwarded to the notifier and the competent authorities of concerned countries. The recovery facility must retain the original of the tracking form for three (3) years.

When waste is not consigned to a recovery facility, but is being accumulated for subsequent recovery elsewhere, the consignee will complete Block 23 of the tracking form. The last carrier is given a signed copy and within three (3) working days individually signed copies are to be sent to the notifier and to the competent authorities in concerned countries. When, subsequently, the waste is sent for recovery the tracking form will accompany it and the procedure described in the previous paragraph will apply.

Where certification that recovery has been completed is required, Block 25 of the tracking form can be used.

N.B.1. If the wastes are to be re-exported from the importing country to another OECD Member country, **consent for re-export** must be obtained from the original exporting country. The second movement of the wastes must follow the same rules as specified above.

N.B.2. The rules and delays specified above are valid only if all the countries concerned by the movement are OECD countries. If the consignment is to be transported through a non-OECD country, consent may be delayed due to the procedures and timing requirements set out in the Basel Convention.

### 7.2.2 *Notification Procedure for Movement Requiring Specific Consent - Multiple Shipments*

For multiple shipments of **similar wastes from the same notifier**, going to **the same** recovery facility, a simplified notification procedure has been produced. In such cases several shipments may be notified at the same time using one notification form.

This procedure is called **general notification**. It can be valid for a period of up to one year from the date of issuance of written or tacit consent, and may be renewed for subsequent one-year periods in accord with national legislation. Such an arrangement may be revoked by any of the competent authorities concerned. The revoking country advises the notifier and the competent authorities of the other concerned countries of its decision.

For multiple shipments the notification procedure is the same as that described in Section 7.2.1. However, each consignment for shipment must be accompanied by its own tracking form with Block 22 being completed individually for each shipment.

For control purposes, some countries may require that the consignment be accompanied at all times by evidence that the transfrontier movement is authorised. To do so, the carrier must be in possession of a signed copy of the notification form (or a copy of it) with Block 24 completed (tacit consent), or with Blocks 24 and 25 completed (written consent). For multiple shipments through countries where the competent authorities require that the original of the signed notification form accompany each consignment, the notifier must ensure that as many officially signed copies as shipments are obtained from the concerned competent authorities.

### 7.3 Case 2 - Movement to a Pre-authorised Recovery Facility

The competent authority in an importing country may grant pre-consent for quantities of certain wastes to be accepted by one or more designated recovery facilities within its jurisdiction. Under such an authorisation, a consignment may be transported directly to a recovery facility thus avoiding the required time delays for consent which are built into the OECD notification procedure.

The competent authorities of importing countries that elect to adopt this option for certain recovery facilities must inform the OECD Secretariat of any such consent they grant. Those facilities currently granted pre-consent are given in ANNEX F, with the information on competent authorities. However, such agreements may carry a specific period of validity, and may be revoked at any time. The competent authorities of the exporting and transit country may, in accord with their domestic laws, prohibit or otherwise restrict any such transfrontier movements. The Secretariat must be notified of any such revocations, prohibition, or restrictions by Member countries.

**N.B.** Some countries require that they review individual contracts (see section 3.3), and may need an additional period of seven days to undertake this review prior to the transfrontier movement of a consignment to a pre-authorised recovery facility.

### 7.3.1 *Notification Procedure for Movement to a Pre-authorised Recovery Facility - Single Shipment*

Although case-by case consent is not required, the notifier must 1) enter into a valid written contract or chain of contracts with the consignee or recovery facility and 2) submit a notification form to the competent authorities of concerned countries. Notification must be received by all competent authorities **before** the dispatch of any consignments to a pre-authorised facility can take place. See Figure 3 for the notification procedure for Amber waste destined for a pre-authorised recovery facility.

The notification procedure for wastes destined for pre-authorised facilities requires the delivery of a duly completed notification form to the competent authorities in concerned countries. Notification does not require the competent authority of the importing country to send an acknowledgement or provide consent, since **pre-consent** has already been granted. However, it is suggested that notification be sent by registered mail. The consignment must be accompanied at all times by a duly completed tracking form and will follow the same procedure as in Step 6 of 7.2.1, once it reaches the recovery facility.

### 7.3.2 *Notification Procedure for Movement to a Pre-authorised Recovery Facility - Multiple Shipments*

In the case of multiple shipments of similar wastes going to the same "pre-authorised" recovery facility, movements may be eligible for similar procedures established for multiple movements of an Amber Tier waste described in Case 1 (see section 7.2.2). In this instance, the competent authorities of the concerned countries may accept one notification for multiple shipments of similar wastes from the same notifier, going to a pre-authorised facility.

Provided a valid written contract or chain of contracts exists between the notifier and the consignee or recovery facility, the first movement may proceed once a notification form has been submitted to the competent authorities of concerned countries.

The notification should follow the steps described in section 7.3.1. Every consignment must be accompanied at all times by a duly completed tracking form and will follow the procedure described in Step 6 of 7.2.1, once it reaches the consignee or the recovery facility.

### 7.4 Examples of Movements of Amber Tier Wastes

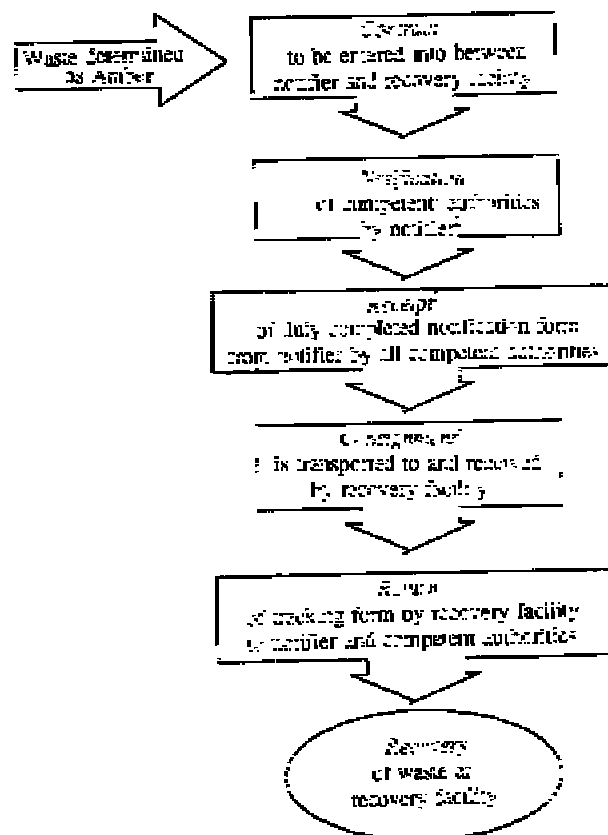
The following examples of hypothetical movements demonstrate a number of possible situations and responses concerning transfrontier movement of Amber Tier wastes.

#### *Example 2 - Single Amber Tier Waste Movement with Tacit Consent through a Transit Country with the Exporting Competent Authority Transmitting the Notification in Lieu of the Notifier*

Ace Battery Distributors, in Country C, accepts large quantities of discarded lead-acid batteries under negotiated special arrangements from companies who supply customers with replacement new batteries. Ace Battery Distributors drains the sulfuric acid from the used batteries and already sends it to an acid recovery facility located nearby in Country C, in accordance with national regulations. Ace Battery Distributors also wishes to send the lead for recovery. Profitable Smelting Company operates a licensed facility for the recycling/reclamation of metals and metal compounds in Country E. Ace Battery Distributors enters into a written contract with Profitable Smelting Company and also with Premier Waste Transport to transport the waste from Ace Battery Distributors through Country D to Profitable Smelting Company.

Lead-acid batteries (whole or crushed) are on the Amber List of Wastes. Therefore the OECD System will apply.

**FIGURE 3**  
**Procedure for Notification of Amber Wastes Destined**  
**for a Pre-authorized Recovery Facility**



1. Authorities of Importing, Exporting, and possibly Transit countries.
2. In some Member countries the competent authority may transmit notification form in lieu of the notified.
3. In some Member countries a 7 day comment review period may be required prior to movement.
4. Pre-authorization procedure is not applicable for Red Tier wastes
5. Accompanied by a tracking form.

### Example 2

Exporting Country:	Country C (OECD Member)
Importing Country:	Country E (OECD Member)
Transit Countries:	Country D (OECD Member)
Waste Description:	Lead-acid batteries (drained)
Physical State:	Solid
Mode of Transport:	By ship from Country C to Country D By truck from Country D to Country E
Generator/Notifier:	Ace Battery Distributors (Country C)
Carrier:	Premier Waste Transport (licensed in Country C) Kwikship International (licensed in Country C, and Country D) Au Quai Transport (licensed in Country D and Country E)
Consignee:	Profitable Smelting Company (Country E)
Recovery Facility:	Profitable Smelting Company (Country E)
Recovery Technology:	Smelting/lead recovery
Hazardous Characteristics:	Hazardous by virtue of lead content and possible residual acid
Contact with other substances:	Not contaminated or mixed with any materials in the Red Tier list
Special Agreements:	None
Intended Shipping Date:	April 20

Ace Battery Distributors would normally provide written notification of the intended movement, to the competent authorities of Countries C, D, and E (the names and contact information for OECD countries can be found in ANNEX F). However, in this instance the national legislation of Country C (the exporting country) states that the competent authority will make all notifications of transfrontier movements of wastes destined for recovery facilities. Therefore, the competent authority of Country C submits the notification to Countries D and E in lieu of Ace Battery Distributors. All countries receive the notification form on March 12. The competent authority of Country E (the importing country) then returns the notification with Block 24 completed, on March 15 to the notifier (in this case the competent authority of Country C), with a copy of it to the competent authority of Country D (the transit country).

Written or tacit consent from the importing, and transit countries to this movement must be given before the movement may proceed. By April 20, the intended date of movement, no objections have been received from any of the countries. The 30 day objection period has expired. In this case, tacit consent for these concerned countries applies, and is valid up to one calendar year from the expiration of the 30-day period, (April 15).

The truck driver for Premier Waste Transport fills out Block 10 of the tracking form and leaves a signed copy with the notifier. The consignment is then transported from Ace Battery to a port in Country C on April 20. Premier Waste Transport is a company registered and licensed to operate in Country C and has two affiliated transporters who are licensed in Countries C, D, and E. The consignment is then transferred to Kwikship International so that it may be loaded onto a ship for transport to Country D on April 22. Upon transfer to Kwikship, a representative fills out Block 11 of the tracking form and leaves a copy with the Premier driver. The consignment is shipped and arrives in country D on April 23 where it is transferred to "Au quai" Transport for movement by truck through Country D to Profitable Smelting in Country E. A representative of "Au quai" fills in the information in Block 12 and gives a photocopy to Kwikship. Following a short wait in customs in Country D and Country E, the consignment is dispatched to Profitable Smelting and arrives on May 1.

A representative of Profitable Smelting Company fills in Block 24 of the tracking form and immediately gives a photocopy to "Au quai" Transport. Profitable Smelting sends a photocopy of the tracking form on May 3 to Ace Battery Distributors as well as to the competent authorities of countries C, D, and E. The batteries are recovered. Subsequently, Profitable must keep the original of the tracking form which accompanied the consignment for 3 years after receipt of the waste.

### *Example 3 - Single Amber Tier Waste Movement to a Pre-authorised Facility through a Transit Country*

Custom Electroplating, a company under the legal jurisdiction of Country F, generates spent pickling solution as waste from one of its metal finishing operations. It finds that Universal Solvents, a licensed recovery facility in Country H, has the most reliable process for recovering spent nitric acid solutions, as well as the best specifications and price for reconditioned acid. Universal Solvents has been granted a pre-consent agreement issued by Country H to accept up to 750 tons of nitric acid waste solutions per year. Custom Electroplating, wishes periodically to send its nitric acid waste to Universal Solvents for recovery and signs a contract to do so with the facility.

These acidic solutions are listed on the Amber Tier and therefore are subject to the OECD System. To export its wastes, Custom Electroplating contracts with Safe Waste Transport, a transporter under the legal jurisdiction of Country F, but licensed to operate in Country F, Country G, and Country H, to undertake the transportation.

The pre-consent agreement granted to Universal Solvents by Country H has been duly registered with the OECD Secretariat. Also registered with the Secretariat is a requirement by Country F (export country) to review all contracts for wastes exported for recovery. The notification form must be received by the competent authority of country F at least seven days prior to the planned transfrontier movement of the waste.

Custom Electroplating, acting as notifier, delivers copies of the duly completed notification form on September 6, to the competent authorities of countries F, G, and H. Since Country F requires a contract review period, Custom Electroplating must wait 7 days after the notification has been received by Country F before dispatching the consignment. Country F receives the notification and contract for the movement by registered mail on September 9. Therefore, unless objected to, the movement may commence any time after September 16.

### Example 3

Exporting Country:	Country F (OECD Member)
Importing Country:	Country H (OECD Member)
Transit Countries:	Country G (OECD Member)
Waste Description:	Spent nitric acid pickling solution
Physical State:	Liquid
Transfrontier Transport:	By truck from Country F to Country G then to Country H
Notifier/Generator:	Custom Electroplating Co. (Country F)
Carrier:	Safe Waste Transport Co. (licensed in Country F, Country G, and Country H)
Consignee:	Universal Solvents Co. (Country H)
Recovery Facility:	Universal Solvents Co. (Country H)
Recovery Technology:	Acid recovery
Hazardous Characteristics:	Hazardous by virtue of acidity and possible trace metals
Contact with other substances:	Not contaminated or mixed with any materials on the Red List Tier
Special Agreements:	Pre-consent by competent authority of Country H to Universal Solvents Co. to receive this type of waste .

The consignment is dispatched on September 20 by truck by Safe Way Transport Co. who is licensed to operate in Countries F, G, and H. A representative of Safe Way fills in Block 10 of the tracking form and leaves a copy with the notifier. The consignment reaches Universal Solvents Co. (the recovery facility), on September 25 and a representative of the facility fills in Block 24 of the tracking form and gives a photocopy to the Safe Way truck driver. He then sends a photocopy of the tracking form to the competent authorities of countries F, G, and H, and to Custom Electroplating on September 27.

*Example 4 - Multiple Movements of Green Tier waste contaminated with Different Amber Tier Waste where the Importer (Consignee) is not the Recovery Facility*

Spent Activated Carbon is regarded as a Green tier waste unless it is contaminated by other materials to an extent which render it appropriate for being considered as an Amber or Red tier waste.

In this example Clean-all Supply Ltd., a supplier of activated carbon located in Country E, operates an international exchange system whereby activated carbon is supplied for use by companies who need to use it in purification processes. When the sorptive capacity of the material becomes exhausted Clean All will take back the used activated carbon in exchange for recycled materials which has been processed to satisfy specification requirements. Clean All is authorized to operate as an interim storage facility for wastes destined for recovery in Country E.

Agents, operating as recognized traders, are appointed in each country. As agents for Clean All Supply, they are required to maintain stocks of recycled activated carbon for sale to customers. Also, they are required to accept used material for recycling. The returned material subsequently will be sent to Clean All for recycling. Used activated carbon is accepted by the agents for return to Clean All only if it is packaged in designated sealed containers and is specifically labelled to identify if, and with what, the carbon is contaminated.

Eco-Carbon International is licensed in Country C to act as an agent for Clean All and operates as a recognized trader to export activated carbon for recycling. Country C has a transport labelling system for the containers such that the hazard class of contaminants they contain can be readily recognized. This is especially useful for Eco-Carbon since there are many processes for gas or liquid purification where activated carbon can be used and there are potentially many varied contaminants.

In Country C, there are three major industries which use this exchange system for their activated carbon requirements. Eco-Carbon projects that they will receive fifty tons of activated carbon for recycling with the following break down of contaminants and projected number of shipments:

Contaminant Type	Projected Amount (tons)	N° of Shipments to be Notified
Contaminant X (amber tier)	30	30
Contaminant Y (amber tier)	7	7
Green Tier only	10	0
Other contaminants as yet unspecified	3	9



#### **Example 4**

Exporting Country:	Country C (OECD Member)
Importing Country:	Country E (OECD Member)
Transit Countries:	None
Waste Description:	Contaminated activated carbon
Physical State:	Solid granules and powder
Mode of Transport:	Truck, Ship and Rail
Notifier:	Eco-Carbon International
Generator:	various companies in exporting country
Carrier:	various
Consignee:	Clean-all Supply Ltd.
Recovery Facility:	ACME Recycling Ltd.
Recovery Technology:	stripping processes
Hazardous Characteristics:	Hazardous by virtue of volatile contaminants (Contaminants X, and Y which are both Amber Tier listed waste)
Contact with other substances:	Not contaminated or mixed with any materials in the Red Tier list
Special Arrangements:	Temporary Storage prior to recovery

Eco-Carbon submits separate notification forms concerning contaminant X and contaminant Y on January 1. In Country C, originals of the notification form are required to accompany each consignment. Therefore included with the notification for X, there are 30 copies of the notification form to correspond with the 30 planned movements. Similarly, 7 copies of the notification form are submitted with the notification for Y so that an original may accompany each consignment. No notification is submitted for the 10 tons of un-contaminated waste since it is considered a Green Tier waste under the OECD System. The 3 tons of carbon contaminated with other types of contaminants will be notified on a case by case basis.

An acknowledgement is sent by Country E on January 3 for X, and includes the 30 officially signed copies of the notification form with Block 24 completed on each one. For Y, the acknowledgement is also sent on January 3 with the 7 copies of the notification form included having Block 24 completed by the competent authority of Country E. No written objections are received by Eco-carbon, before February 3, therefore these 37 movements may take place up until February 2 of the following year.

When a sufficient number of containers of activated carbon contaminated by a certain contaminant have been accumulated, Eco-Carbon arranges for the used material to be exported to Clean-all. Clean-all then stores the activated carbon on its premises until it in turn has received enough from other agents to send to ACME Recycling. ACME is a recovery facility in Country E that is licensed to remove the contaminants contained in the activated carbon, and to refurbish it to a laid down specification, before it is returned to Clean-all and onward to the agents located in other countries.

By February 10, Eco-carbon has accumulated 1 tonne of activated carbon contaminated with X. A tracking form and one of the 30 signed copies of the notification form for X are included with the consignment and it is immediately dispatched. The means of transport to be used is by road transport to the docks in Country C, then by ship to Country E, and thereafter by rail to the premises of Clean All for onward transport by truck to ACME recycling. As the consignment is transferred between different carriers, Blocks 10, 11 and 12 of the tracking form are successively completed and each carrier is provided with a photocopy of the document once it has been completed by the next carrier when taking possession of the consignment.

The consignment arrives on February 25 at Clean All where it will be stored until 20 tonnes contaminated with X from various agents that supply recycled activated carbon in different countries have been accumulated. A representative from Clean All completes Block 23 of the tracking form, gives a copy to the last carrier and sends copies to the notifier and the competent authorities of the concerned countries.

The 20 tonnes is accumulated at Clean All by June 1 from where it is then transported to ACME on June 5. Recovery of the activated carbon is completed by July 10. Since this movement is within Country E, it is not controlled by the OECD System but rather the national legislation of Country E. However, since the waste was imported for recovery under the OECD System, Clean All must forward the tracking forms associated with the material being sent to ACME. On receipt of the waste, ACME is required to complete Block 24 on each tracking form, give a copy of each to Clean All and forward copies to the competent authorities in concerned countries within three working days of receipt of the consignment.

## 8.0 TRANSFRONTIER MOVEMENTS OF RED TIER WASTES

The Red Tier list of wastes contains substances that typically exhibit one or more hazardous characteristics and that have been deemed by Member countries to require stricter control than Amber Tier wastes. Red Tier wastes are listed in Appendix 5 to Decision C(92)39 (see ANNEX A). All transfrontier movements of these wastes require written consent from the importing and any transit country before the movement may proceed.

### 8.1 How Red Tier Wastes Are Handled Under the OECD System

All the rules of the notification procedure for Case 1 (Section 7.2) for Amber Tier wastes (single or multiple shipments) apply to Red Tier wastes, except that **the importing country and any countries of transit<sup>17</sup> must provide written consent prior to transfrontier movement (see Figure 2).**

**Pre-consent cannot be granted to facilities to recover Red Tier wastes.** Therefore, Case 2, for Amber Tier wastes (Section 7.3), is not applicable to Red Tier wastes.

### 8.2 Notification Procedure for Red Tier Listed Wastes

Every movement of Red Tier wastes sent to a recovery facility is governed by specific requirements for the concerned parties. The requirements for Red Tier wastes are exactly the same as those described for case 1 Amber Tier wastes in section 7.2.1 in step 1 on contract, step 2 on notification, step 3 on acknowledgement, step 4B on objection, step 5 on shipment, and step 6 on the return of the tracking form. However, the notification procedure for Red Tier wastes differs from Section 7.2.1 as follows:

#### STEP 4A - Consent

This step is the same, except that "tacit consent" cannot be used for Red Tier wastes (step 4A-1). A Red Tier waste may cross an international boundary in the OECD area, only when written consent has been obtained from the importing and any transit countries.

### 8.3 Examples of Movements of Red Tier Wastes

The following examples of transfrontier movements are based on hypothetical data and information.

#### *Example 5 : Single Movement of Red Tier Waste - Notified by a Recognized Trader*

National Refining Company, a firm under the legal jurisdiction of Country I, uses simple processes to reclaim off-specification mineral transformer oil to allow its reuse. A utility company, a regular customer of National Refining Company, inadvertently included in a consignment of oil sent for recovery, the contents of a tank containing tarry residues contaminated with asbestos fibers resulting from a major fire in high voltage switchgear. Having discovered the error, the two companies mutually agreed to appoint International Exporters, which is licensed in Country I to export wastes, to act as the agent and arrange for the mineral oil content to be separated and refined since National Refining Co. is not licensed to handle oil contaminated with asbestos. International Exporters contracts with Hydrocarbon Recycling Company, who under the legal jurisdiction of Country J, operates a facility which processes and separates tarry residues from other fluids.

### Example 5

Exporting Country:	Country I (OECD Member)
Importing Country:	Country J (OECD Member)
Transit Countries:	None
Waste Description:	Mineral oil contaminated with refinery storage tank bottoms
Physical State:	Sludge
Transfrontier Transport:	Tanker truck
Generator:	National Refining Co. (Country I)
Notifier:	International Exporters Ltd. (Country I)
Carrier:	International Exporters Ltd. (Country I)
Consignee:	Hydrocarbon Recycling Ltd. (Country J)
Recovery Facility:	Hydrocarbon Recycling Ltd. (Country J)
Recovery Technology:	Solvent extraction of leaded compounds; organic material converted to fuel for energy recovery
Hazardous Characteristics:	Presence of asbestos fibers
Contact with Other Substances:	None
Special Agreements:	None

International Exporters acting as the notifier sends the required copies of the duly completed notification form to the competent authority in Countries I and J on Friday November 5. Country J returns a copy of the form with Block 24 completed to International Exporters and to the competent authority in Country I on November 10. Country J returns another copy of the notification form to International Exporters and Country I with Block 25 signed indicating a consent to the movement on November 29. Once the form giving consent has been received by International Exporters dispatch of the consignment may proceed for up to one calendar year, accompanied by the corresponding tracking form.

On receipt of the consignment, Hydrocarbon Recycling Company completes Block 24 of the tracking form, gives a copy to International Exporters Ltd. and within three working days sends a signed copy to the competent authority in both Country I and J.

*Example 6 : Movement of Amber Tier Waste Contaminated with Red Tier Waste*

Quick Lube, located in Country K, generates used oil and used transmission fluid from oil changes on private automobiles. As there is no recovery facility for this waste in Country K, Quick Lube sells these used oils to Waste Oil Transporters, a recognized trader in Country K. Waste Oil Transporters also handles liquid wastes from other facilities, all of them being listed on the OECD Amber List of wastes. Waste Oil Transporters has entered into a contract with the recovery facility Last Chance Re-refining, which is located in Country L and to which it periodically sends waste oils on a general notification for multiple shipments. Both Country K (the exporting country) and Country L (the importing country), are OECD Member countries, so the rules of the OECD System will apply for general notification.

For this movement, the notifier reported that this consignment had been inadvertently mixed with spent transformer oil, which had evidence of substantial contamination with polychlorinated biphenyls (PCBs), a previously-used transformer fluid. This accidental mixing occurred while Waste Oil Transporters had possession of the consignment.

Although the primary waste (waste oils unfit for their originally intended use) is an Amber Tier waste, the inadvertent mixing with oil contaminated significantly with PCBs (greater than 50ppm) resulted in this consignment being considered as a Red Tier waste. Consequently, this consignment from Quick Lube may not be submitted under the procedure for the general notification as the content of the waste has changed. Furthermore, since Waste Oil Transporters performed the mixing prior to movement, they become the generator of the waste under the OECD System.

A new notification form is submitted to Countries K and L by Waste Oil Transporters on June 6. Since it is now a Red Tier waste, written consent for transfrontier movement must be obtained from the competent authority of Country L prior to movement. Country L acknowledges receipt of the completed notification form on June 9 to the notifier and Country K.

By July 16, no further reply has been received from Country L. Consequently, the consignment may not be dispatched. Waste Oil Transporters contacts the Competent Authority in Country L and is told that all imports of PCBs have been banned under recent national legislation. Waste Oil Transporters must now seek alternative means to manage the consignment.

### Example 6

Exporting Country:	Country K (OECD Member)
Importing Country:	Country L (OECD Member)
Transit Countries:	None
Waste Description:	Used lubricating and hydraulic oils from automobiles and trucks
Physical State:	Liquid
Generator:	Waste Oil Transporters Co. (Country K)
Notifier:	Waste Oil Transporters Co. (Country K)
Carrier:	Waste Oil Transporters Co. (Country K)
Transfrontier Transport:	Tank truck
Consignee:	Last Chance Re-Refining Co. (Country L)
Recovery Facility:	Last Chance Re-Refining Co. (Country L)
Recovery Technology:	Filtration, distillation, clay bed treatment
Hazardous Characteristics:	Hazardous by virtue of acidity and trace metals
Contact with other substances:	Mixed with spent transformer fluid containing evidence of substantial contamination with PCB's (greater than 50 ppm) by Waste Oil Transporters Co. in Country K prior to intended shipment
Special Agreements:	None
Contract Period:	One year

## 9.0 SPECIFIC NATIONAL PROVISIONS OF MEMBER COUNTRIES AND OTHER RELEVANT INFORMATION

The OECD System includes a number of provisions which may differ between countries according to specific national regulations. Member countries have been requested to provide, and keep updated, the OECD Secretariat with information on such national provisions enacted to facilitate implementation of the System.

- 1) **Classification:** Information on any wastes that are determined by a Member country to be on the Green list whereas the OECD has classified them to the Amber or Red lists. Information on any wastes listed by the OECD as Green but controlled by a Member country as if they had been assigned to the Amber or Red list. Information on any national tests or procedures that are used to determine the classification of these wastes.
- 2) **Pre-authorised facilities:** Any facilities that have been authorized to operate with pre-consent, detailing the facility with which the agreement is made i.e. name, address, technologies employed, waste types to which the pre-consent applies, the period covered by the pre-consent agreement, and if review of contracts prior to the movement of waste to such a facility is required.
- 3) **Provisions for Export:** Information on provisions for export in case consent for export is to be provided by the competent authority of the exporting country, or domestic legislation requires that the competent authority of the exporting country acts as a notifier for all transfrontier movements of waste destined for recovery.
- 4) **Other Provisions:** Information regarding specific regulations for provisions relating to recognized traders, recovery facilities, amber tier control procedures, contractual agreements, and wastes designated for exchange or accumulation.
- 5) **Review of Contracts or Insurance Guarantees:** Information regarding those countries which require that contracts be reviewed at the time of notification.

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Information which has been submitted by Member Countries to the OECD Secretariat, together with the information on their respective Competent Authorities is included in ANNEX F (issued separately).

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## NOTES

1. The designation of "EC" or "EC Regulation" is used for the Council of European Communities regulation entitled, *Regulation on the Supervision and Control of Shipments of Waste Within, into, and out of the European Community*, OJ N°.L30, 6.2. 1993.
2. The designation of "Basel" refers to the *Basel Convention on the Control of Transboundary Movement of Hazardous Wastes and their Disposal*, United Nations Environment Programme, March, 1989.
3. Recovery operations are defined in Table 2B of ANNEX B.
4. Member countries as of December 1994: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Iceland, Ireland, Italy, Japan, Luxemburg, Mexico, the Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, Turkey, United Kingdom, and the United States.
5. The person designated as the generator by the OECD and the Basel Convention, is indicated by the European Community to be the original producer.
6. The person designated as the notifier by the OECD and the European Community is defined as the exporter under the Basel Convention.
7. The designation of a state or country as that of export by the OECD and the Basel Convention is defined by the European Community as the state or country of dispatch.
8. The person designated as the consignee by the OECD and the European Community is defined as the importer under the Basel Convention.
9. The designation of a state or country as that of import by the OECD and Basel, is defined by the European Community as the state or country of destination.
10. This authorization is contingent upon requirements of national legislation and regulations.
11. OECD has developed a reference list of 13 possible recovery operations which is included in Table 2B of Decision C(88)90(Final). (See Annex B of this document).
12. As indicated in footnote "+" of Appendix 3 of ANNEX A.
13. See ANNEX A for Green, Amber and Red lists.
14. These criteria are shown in Annex 2 of the Decision C(92)39/FINAL which is reproduced in ANNEX A of this document.
15. However this cannot be enforced by the exporting country as it is not prescribed by the System.
16. For exception to this, see section 5.1.
17. In some Member countries, national legislation require that the exporting country also provide written consent for transfrontier movement of Red Tier waste.

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## **ANNEX A**

**OECD Council Decision C(92)39/FINAL - Including Green, Amber, & Red Lists**

## **DECISION OF THE COUNCIL**

### **concerning the control of transfrontier movements of wastes destined for recovery operations\***

**(adopted by the Council at its 778th Session on 30th March 1992)**

THE COUNCIL,

Having regard to Article 5a) of the Convention on the Organisation for Economic Co-operation and Development of 14 December 1960;

Having regard to the Decision and Recommendation of the Council of 1 February 1984 on Transfrontier Movements of Hazardous Waste [C(83)180(Final)] which requires Member countries to control transfrontier movements of hazardous wastes;

Having regard to the Decision of the Council of 27 May 1988 on Transfrontier Movements of Hazardous Wastes [C(88)90(Final)] which defines "wastes", identifies those wastes referred to as hazardous wastes in relevant Council Acts, and sets out a classification system for wastes subject to transfrontier movements;

Having regard to the Decision-Recommendation of the Council of 31 January 1991 on the Reduction of Transfrontier Movements of Wastes [C(90)178/FINAL] which, inter alia, calls for delineation of such controls as may be appropriate for the transfrontier movement of wastes destined for recovery operations, clarification of the definition of such wastes and characterization of those wastes which may require differing levels of control;

Having regard to the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, adopted on 22 March 1989, and noting that most Member countries and the European Economic Community have become signatories to this Convention;

Desiring to conclude an arrangement or agreement under Article 11 of that Convention;

Noting that recovery of valuable raw materials from wastes has been an integral part of the international economic system and that well established international markets exist for the collection and processing of such wastes;

Noting further that many industrial sectors are already implementing waste recovery techniques in an economically and environmentally satisfactory manner, thus protecting limited virgin sources of raw materials, and convinced that further efforts in this direction are necessary and should be encouraged;

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\* As amended on 23 July 1993 [Council Decision C(93)74/FINAL] with respect to the lists of wastes; on 28-29 July 1994 [Council Decision C(94)153/FINAL] with respect to the green list of wastes; and on 28-29 July 1994 [Council Decision C(94)154/FINAL] with respect to the Document for Transfrontier Movements of Wastes.

Recognising that efficient and environmentally sound management of wastes may justify some transfrontier movements of such wastes in order to make use of adequate recovery facilities in other countries;

Convinced however that, pursuant to the obligations set forth in the relevant Council Acts and compatible with the provisions of the Basel Convention, an appropriate system should be implemented to control transfrontier movements of those wastes destined for recovery operations;

Convinced that all persons involved in any contracts or arrangements for transfrontier movements of wastes destined for recovery operations must have the appropriate legal status to ensure environmentally sound management of these wastes; and

Recognizing that work is now in progress within the United Nations Environment Programme concerning the environmentally sound management of hazardous wastes.

On the proposal of the Environment Committee:

I. DECIDES that Member countries shall control transfrontier movements of wastes destined for recovery operations within the OECD area as specified in Annex 1 which is an integral part of this Decision.

II. INSTRUCTS the Environment Committee in co-operation with other relevant OECD bodies, in particular the Trade Committee, to review periodically the control system and the lists of wastes set out in Annex 1, taking into account the criteria listed in Annex 2, and to make any proposals it deems necessary for revisions of Annex 1.

III. INSTRUCTS the Environment Committee in co-operation with other relevant OECD bodies to review annually action taken by Member countries in pursuance of this Decision.

IV. REQUESTS the Secretary General to transmit this Decision to the Executive Director of the United Nations Environment Programme and the Interim Secretariat of the Basel Convention.

## **Annex 1**

### **I. DEFINITIONS**

For the purposes of this Decision:

WASTES are as defined in OECD Council Decision C(88)90(Final) of 27 May 1988.

RECOVERY OPERATIONS mean activities leading to resource recovery, recycling, reclamation, direct re-use or alternative uses as listed in Table 2B of the Annex of OECD Council Decision C(88)90(Final) of 27 May 1988.

TRANSFRONTIER MOVEMENT means any shipment of wastes destined for recovery operations from an area under the national jurisdiction of one OECD Member country to an area under the national jurisdiction of another OECD Member country.

RECOVERY FACILITY means an entity which, under applicable domestic law, is operating or is authorized to operate in the importing country to receive wastes and to perform recovery operations on them.

INTERNATIONAL WASTE IDENTIFICATION CODE ("IWIC") is the classification system specified and described in OECD Council Decision C(88)90(Final) of 27 May 1988.

EXPORTING COUNTRY means any OECD Member country from which a transfrontier movement of wastes is planned or has commenced.

IMPORTING COUNTRY means any OECD Member country to which a transfrontier movement of wastes is planned or takes place for the purpose of submitting the wastes to recovery operations therein.

COUNTRY OF TRANSIT means any OECD Member country other than the exporting or importing country across which a transfrontier movement of wastes is planned or takes place.

CONCERNED COUNTRIES means the exporting and importing OECD Member countries and any OECD Member countries of transit.

OECD AREA means all land or marine areas under the national jurisdiction of any OECD Member country.

COMPETENT AUTHORITIES means the regulatory authorities of concerned countries having jurisdiction over transfrontier movements of wastes destined for recovery operations.

PERSON means any natural or legal person whether public or private.

NOTIFIER means the person under the jurisdiction of the exporting country who has, or will have at the time the planned transfrontier movement commences, possession or other forms of legal control of the wastes and who proposes their transfrontier movement for the ultimate purpose of submitting them to recovery operations.

CONSIGNEE means the person to whom possession or other form of legal control of the waste is assigned at the time the waste is received in the importing country.

RECOGNISED TRADER means a person who, with appropriate authorisation of concerned countries, acts in the role of principal to purchase and subsequently sell wastes; this person has legal control of such wastes from time of purchase to time of sale; such a person may act to arrange and facilitate transfrontier movements of wastes destined for recovery operations.

GENERATOR means a person whose activities create wastes.

## II. GENERAL PROVISIONS

- (1) All of the following conditions shall apply to transfrontier movements of wastes subject to this Decision:
  - (a) The wastes shall be destined for recovery operations within a facility which, under applicable domestic law, is operating or is authorized to operate in the importing country;
  - (b) The transfrontier movements shall be carried out under terms of applicable international transport agreements. (Appendix 1 contains an illustrative list of such agreements);
  - (c) Any transit of wastes through a non-member country shall be subject to all applicable international and national laws and regulations.
- (2) A three-tiered system serves to delineate controls to be applied to such transfrontier movements:
  - (a) "Green" tier

Wastes destined for recovery operations included on the green list shall move among OECD Member countries toward recovery operations subject to all existing controls normally applied in commercial transactions. These provisions shall not apply to wastes on this list which are contaminated by other materials to an extent which increases the risks associated with the wastes sufficiently to render them appropriate for inclusion in the amber or red lists, when taking into account the criteria in Annex 2.
  - (b) "Amber" tier

Wastes destined for recovery operations included in the amber list shall be subject to the control system set out in Section IV of this Annex.
  - (c) "Red" tier

Wastes destined for recovery operations included in the red list shall be subject to the controls indicated in Section V of this Annex.



(3) The criteria listed in Annex 2 must be taken into account for evaluating wastes for inclusion on the green, amber or red lists. In accord with provisions of this Decision, items may be added, altered or deleted periodically. Subject to Section III (2) no single criterion shall be used in isolation in assigning wastes to the lists.

(4) While the lists are intended to be exclusive, a specific waste included in either the amber or red lists might not be legally defined or considered to be a hazardous waste in the exporting country because the competent authorities of that country are satisfied that it does not exhibit any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final) as determined using national procedures\*. If, however, this waste is legally defined or considered to be a hazardous waste by the importing country, then all of the requirements set forth in Section IV or Section V - whichever is applicable - shall apply as follows: the importing country shall assume the obligations of the exporting country under these Sections, in particular as regards the notification requirements. A copy of the notification form must be transmitted to the competent authorities of the exporting country. Member countries operating under provisions of this paragraph shall promptly inform the OECD Secretariat of the waste(s) involved and applicable legislative requirements.

(5) Member countries who prescribe the use of certain tests and testing procedures in order to determine whether a waste exhibits one or more of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final) shall inform the OECD Secretariat concerning which tests and testing procedures are being so utilized; and, if possible, which wastes would or would not be legally defined or considered to be hazardous wastes based upon application of these national procedures.

(6) This Decision does not prejudice the right of Member countries to control certain wastes which have been assigned to the green list as if those wastes had been assigned to one of the other lists, in conformity with domestic legislation and the rules of international law, in order to protect human health and the environment. In such cases, Member countries exercising this right shall immediately inform the OECD secretariat citing the specific waste(s) and applicable legislative requirements.

(7) Wastes which are destined for recovery operations but have not yet been assigned to the green, amber or red lists shall be eligible for transfrontier movements pursuant to this Decision subject to the following conditions:

- i) Member countries shall identify such wastes and bring them to the attention of the review mechanism established by operative paragraphs II and III of this Decision;
- ii) such wastes shall be promptly examined by the Review Mechanism in order to assign them to the appropriate list;

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\* The potential hazards posed by certain types of wastes are not yet fully documented; tests to define quantitatively these hazards do not exist. Further research is necessary in order to develop means to characterise potential hazards posed to man and/or the environment by these wastes. Standardized tests have been derived with respect to pure substances and materials. Many Member countries have developed tests which can be applied to materials destined for disposal by means of operations listed in Table 2 of OECD Council Decision C(88)90(Final) in order to decide if these materials exhibit any of the hazardous characteristics listed in Table 5 of that Decision.

- iii) pending assignment to a list, such wastes shall be subject to the controls required for the transfrontier movements of wastes by the domestic legislation of the concerned countries in order that no country is obliged to enforce laws other than its own;
- iv) however, if such wastes exhibit a hazardous characteristic listed in Table 5 of OECD Council Decision C(88)90(Final) as determined using national procedures and any applicable international agreements, such wastes shall be subject to controls applicable to the red tier.

(8) If two or more lots of wastes are mixed and/or otherwise subjected to physical or chemical transformation operations, the person who performs these operations shall be deemed to be the generator of the new wastes resulting from these operations.

### **III. GREEN TIER**

(1) Specific items included in the green list are shown under their corresponding main categories. Only the items specified under a main category and not the main categories themselves are part of the green list.

(2) Wastes may not be included in the green list if they exhibit any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final). The procedures in force in each Member country for determining whether a specific waste does or does not exhibit one or more of these characteristics are taken into account in placing or not placing a waste onto the green list.

(3) If green list wastes are re-exported, responsibilities of the exporting country under other relevant agreements or conventions shall transfer to the country initiating the re-export, and shall not apply to the original exporting country.

(4) Green list of wastes

The green list of wastes is set out at Appendix 3.

#### IV. AMBER TIER

(1) Conditions

Transfrontier movements of wastes under the amber control system may only occur under the terms of a valid written contract, or chain of contracts, or equivalent arrangements between facilities controlled by the same legal entity, starting with the notifier and terminating at the recovery facility. All persons involved in the contracts, or arrangements shall have appropriate legal status.

Such contracts shall include provisions for financial guarantees in accordance with applicable national or international law requirements. Financial guarantees so required are intended to provide for alternate recycling, disposal or other means of sound management of the wastes in cases where arrangements for the shipment and the recovery operations cannot be carried out as foreseen. These contracts shall also specify which party to the contract shall assume responsibility for alternate management of the wastes. These contracts shall also specify and, as the case may be, require from the consignee the notification required in 3(a) below (Re-export to a Third Country).

In such cases :

- i) the person having actual possession or physical control over the wastes shall immediately inform the notifier and the competent authorities of the exporting and importing countries and, if the wastes are located in a country of transit, the competent authorities of that country;
- ii) the person specified in the contract shall assume responsibility for the adequate management of the wastes in compliance with applicable laws and regulations including, if necessary, their return. The competent authorities of the concerned countries shall require that the necessary actions are carried out within a limited period of time, and shall not oppose, hinder or prevent the return of those wastes to the exporting country.

(2) Control System

Procedures are provided under the amber control system for the following two cases:

- i) transactions which require consent for specific shipments to a recovery facility; and
- ii) transactions involving specific recovery facilities to which the competent authorities having jurisdiction over such recovery facilities have granted general pre-consent concerning the reception of certain wastes.

Case (1): Provisions concerning transactions requiring specific consent.

- (a) Prior to commencement of the transfrontier movement, the notifier shall provide written notification to the competent authorities of the concerned countries; this notification shall include all of the information listed in Appendix 2.A. The competent authorities of the exporting country may, in accord with domestic laws, decide to transmit this notification instead of the notifier.

- (b) The competent authorities of the importing country, upon receipt of the completed notification referred to in paragraph (a) above, shall transmit an acknowledgement to the notifier with a copy to the competent authorities of other concerned countries within three (3) working days of their receiving the notification.
- (c) The competent authorities of the exporting and importing countries shall have thirty (30) days to object in accord with their respective domestic laws to the proposed transfrontier movement. The 30-day period shall commence upon issuance of the acknowledgement referred at paragraph (b) above.
- (d) Countries of transit may, in accord with domestic laws, object to the transfrontier movement entering their territory.
- (e) Any objection by any of the concerned countries must be provided in writing to the notifier and to the competent authorities of other concerned countries within the 30-day period.
- (f) If no objection has been lodged, the transfrontier movement may commence after the 30-day period has passed. Tacit consent, however, expires within one (1) calendar year from that date.
- (g) The competent authorities of the concerned countries may decide to provide written consent in a period less than the 30 days. The transfrontier movement may commence immediately after all necessary consents are received.
- (h) Written consent or objection may be provided by post, or by telefax followed by post. Such consent shall expire within one (1) calendar year unless otherwise specified.
- (i) Each transfrontier movement shall be accompanied by a tracking document which includes the information listed in Appendix 2.
- (j) Within three (3) days of the receipt of the wastes by the recovery facility, the recovery facility shall provide a signed copy of the tracking document to the notifier and to the competent authorities of the concerned countries. The recovery facility shall retain the original of the tracking document for three (3) years.
- (k) In cases where essentially similar wastes (e.g. those having essentially similar physical and chemical characteristics) are to be sent periodically to the same recovery facility by the same notifier, the competent authorities of the concerned countries may elect to accept one notification for these wastes for a period of up to one year:
  - i) Such acceptance may be renewed for further periods of up to one year each;
  - ii) Revocation of this acceptance may be accomplished by means of official notice to the notifier from any of the competent authorities of the concerned countries. Notice of revocation of acceptance for shipments previously granted under this provision shall be given to the competent authorities of all concerned countries by the competent authorities of the country that revokes such acceptance.

Case (2): Provisions relating to pre-consent by competent authorities for shipments to specific recovery facilities.

- (a) Competent authorities having jurisdiction over specific recovery facilities may decide not to raise objections concerning shipments of certain types of wastes to a specific recovery facility. Such decisions can be limited to a specified period of time; however, they may be revoked at any time.
- (b) Competent authorities who elect this option shall inform the OECD Secretariat of the recovery facility name, address, technologies employed, waste types to which the pre-consent applies, and the period covered. Any revocations must also be notified to the OECD Secretariat.
- (c) All proposed transfrontier movements to such facilities shall require notification; the notifier shall provide to the competent authorities of the concerned countries the information listed in Appendix 2.A. Such notification shall arrive prior to the time the shipment is dispatched.
- (d) The competent authorities of the exporting and transit country may, in accord with their domestic laws, prohibit or otherwise restrict any such transfrontier movement.
- (e) In instances where competent authorities acting under terms of their domestic laws are required to review the contracts referred to in (1) above (Conditions), these authorities shall so inform the OECD Secretariat. In such cases, the notification information plus the contract(s) or portions thereof to be reviewed must arrive seven (7) days prior to the time the shipment is dispatched in order that such review may be appropriately performed.
- (f) Paragraphs (i), (j) and (k) of Case (1) shall apply.

(3) Additional provisions relating to re-export to a third country

- (a) Re-export from an importing country of wastes subject to the amber control system may only occur following notification by a notifier in the importing country to the competent authorities of the initial exporting country, which shall be acknowledged within three (3) working days of receipt. The competent authorities of the initial exporting country shall have thirty (30) days to object to the proposed movement. The 30-day period shall commence upon issue of the acknowledgement referred to above. If no objection has been lodged, the transfrontier movement may commence after the 30-day period has passed. The competent authorities may decide to provide written consent in a period of less than 30 days. The transfrontier movement may commence immediately after such consent is received. Written consent may be provided by telefax in the first instance, followed by post if required.
- (b) Re-export to a country outside the OECD area shall be fully subject to, and in accord with, all international agreements and arrangements to which the importing OECD Member country is a party.

(4) Provisions relating to recognised traders

- (a) A recognised trader who takes physical custody of the wastes and intends to perform any of the operations in Table 2 B of OECD Council Decision C(88)90(Final) shall require appropriate authorisation from its competent authorities to act as a recovery facility.
- (b) A recognised trader may act as a notifier or consignee for wastes with all the responsibilities associated with being a notifier or consignee.
- (c) The contracts referred to in (1) above (Conditions) shall:
  - i) clearly identify: the generator of each type of waste; each person who shall have physical custody of the wastes; each person who shall have legal control of the wastes; and the recovery facility;
  - ii) provide that all requirements of this Decision are taken into account and are legally binding on all parties to the contracts.
- (d) The notification information called for at Appendix 2A shall include a signed declaration by the notifier that the appropriate contracts are in place and are legally enforceable in all concerned countries.
- (e) Competent authorities of the exporting and importing countries may under terms of their domestic laws require the notifier to provide copies of such contracts or portions thereof.
- (f) Any information contained in the contracts provided under terms of paragraph (e) above shall be held as strictly confidential in accordance with, and to the extent allowable by, domestic laws.

(5) Provisions relating to wastes designated for exchange or accumulation prior to submission to recovery operations designated R1-R11 in Table 2B of OECD Council Decision C(88)90(Final)

- (a) The notification information included in Appendix 2A shall also indicate that exchange or storage is foreseen for the wastes covered by the notification.
- (b) The competent authorities of concerned countries may request that the recovery facility where operations designated R1-R11 in Table 2B of Council Decision C(88)90(Final) will occur be identified.
- (c) The tracking document referred to in Appendix 2B shall accompany the wastes to the recovery facility noted in paragraph (b) above which shall then comply with paragraph (j) of (2) above (Control System).

(6) Amber list of wastes

The amber list of wastes is set out at Appendix 4.

## **V. RED TIER**

(1) The red list represents certain specific substances which, even moved in an adequately managed way, nevertheless must be controlled in a more stringent way than provided for by the amber control system. Wastes included in the red list shall be subject to the same controls as applied to wastes included in the amber list (see Section IV), and shall move in accord with Case (1), except that the importing and any transit countries must provide written consent prior to commencement of the transfrontier movement.

(2) Red list of wastes

The red list of wastes is set out at Appendix 5.

## **VI. ACTIONS TO PROMOTE HARMONISED IMPLEMENTATION**

(1) Member countries individually, and as a group acting through the Review Mechanism established in this Decision, shall take appropriate steps toward improving the green, amber and red lists of wastes and toward uniform application of this Decision.

(2) Member countries shall cooperate in efforts aimed at:

- i) developing procedures for evaluating the criteria in Annex 2 to determine to which list a waste should be assigned; and
- ii) harmonising procedures for determining whether a waste exhibits any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final).

(3) Member countries shall cooperate to identify and assess steps taken toward optimization of environmentally sound and economically efficient practices for recovery operations of each waste.

(4) When Sections II(4), II(6) and II(7) must be resorted to, Member countries shall cooperate to ensure that the provisions of this Decision are fully complied with.

(5) The OECD Secretariat shall circulate to all Member countries the information provided in accordance with this Decision, in particular under Sections II(4), II(5), II(6) and II(7).

## **Appendix 1**

### **INTERNATIONAL TRANSPORT AGREEMENTS**

1. Chicago Convention:  
Convention on International Civil Aviation (1944) Annex 18 which deals with the carriage of dangerous goods by air  
(T.I.: Technical Instructions for the Safe Transport of Dangerous Goods by Air);
2. ADR:  
European Agreement concerning the International Carriage of Dangerous Goods by Road (1957);
3. ADN:  
Regulations of the Carriage of Dangerous Substances on the Rhine (1970).
4. MARPOL Convention:  
International Convention for the Prevention of Pollution from Ships (1973/1978);
5. SOLAS Convention:  
International Convention for the Safety of Life at Sea (1974);
6. IMDG Code:  
International Maritime Dangerous Goods Code; (incorporated into SOLAS since 1985)
7. COTIF:  
Convention concerning the International Carriage of Goods by Rail (1985);
8. RID: Regulation on the International Carriage by Rail of Dangerous Goods (1985) [Annex I to COTIF];



## **Appendix 2**

### **NOTIFICATION AND TRACKING INFORMATION**

#### **A. INFORMATION TO BE SUBMITTED UPON NOTIFICATION**

- 1) Serial number or other accepted identifier of notification form.
- 2) Notifier name, address, telephone, telefax.
- 3) Recovery facility name, address, telephone, telefax, and technologies employed
- 4) Consignee if not the recovery facility, address, telephone, telefax
- 5) Intended carrier(s) and/or their agents.
- 6) Country of export and relevant competent authority
- 7) Countries of transit and relevant competent authorities.
- 8) Country of import and relevant competent authority.
- 9) Is this a single notification or a general notification? If general, period of validity requested.
- 10) Date foreseen for commencement of transfrontier movement.
- 11) Certification that any applicable insurance or other financial guarantee is or shall be in force covering the transfrontier movement.
- 12) Designation of waste type(s) on the appropriate list (amber or red) and their description(s), probable total quantity of each, and an accepted uniform classification code (such as the IWIC) for each.
- 13) Certification of the existence of written contract or chain of contracts or equivalent arrangement as required by this Decision.
- 14) Certification by notifier that the information is complete and correct to the best of his knowledge.

#### **B. TRACKING DOCUMENT**

Include all information at A. above plus

- (a) Date shipment was dispatched
- (b) Shipper (if not notifier), address, telephone, telefax
- (c) Actual carrier(s)
- (d) Means and mode of transport including types of packaging
- (e) Any special precautions to be taken by carrier(s)
- (f) Declaration by notifier that no objection has been lodged by the competent authorities of all concerned countries. This declaration requires signature of the notifier.

- (g) Appropriate signatures for each custody transfer.
- C. It is recommended that Member countries use the Document hereafter for Transfrontier Movement of Wastes, comprising a Notification Form and a Movement/tracking Form, to provide the information required to control transfrontier movements of wastes destined for recovery operations within the OECD area.\*
- D. **NOTE.** Under terms of domestic legislation, some Member countries require information in addition to that included in A and B above in order to assess aspects of the environmentally sound management of wastes. Affected countries shall inform the OECD Secretariat and provide a list of the additional information needed.

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\* The Document for Transfrontier Movements of Wastes is reproduced in Annex C.

### Appendix 3

#### **GREEN LIST OF WASTES+** (revised May 1994)

Regardless of whether or not wastes are included on this list, they may not be moved as Green Tier wastes if they are contaminated by other materials to an extent which (a) increases the risks associated with the waste sufficiently to render it appropriate for inclusion in the amber or red lists, when taking into account the criteria in Annex 2, or (b) prevents the recovery of the waste in an environmentally sound manner.

#### **GA. METAL AND METAL-ALLOY WASTES IN METALLIC, NON DISPERSIBLE FORM++**

The following waste and scrap of precious metals and their alloys :

- |              |           |  |
|--------------|-----------|--|
| <b>GA010</b> | ex 711210 | - of gold  |
| <b>GA020</b> | ex 711220 | - of platinum (the expression "platinum" includes platinum, iridium, osmium, palladium, rhodium and ruthenium) |
| <b>GA030</b> | ex 711290 | - of other precious metal, e.g., silver  |
- N.B. Mercury is specifically excluded as a contaminant of these metals or their alloys or amalgams.

The following ferrous waste and scrap of iron or steel:

- |              |           |   |
|--------------|-----------|---|
| <b>GA040</b> | 720410    | - Waste and scrap of cast iron  |
| <b>GA050</b> | 720421    | - Waste and scrap of stainless steel  |
| <b>GA060</b> | 720429    | - Waste and scrap of other alloy steels   |
| <b>GA070</b> | 720430    | - Waste and scrap of tinned iron or steel   |
| <b>GA080</b> | 720441    | - Turnings, shavings, chips, milling waste, filings, trimmings and stampings, whether or not in bundles |
| <b>GA090</b> | 720449    | - Other ferrous waste and scrap   |
| <b>GA100</b> | 720450    | - Remelting scrap ingots  |
| <b>GA110</b> | ex 730210 | - Used iron and steel rails   |

+ Whenever possible, the code number of the Harmonized Commodity Description and Coding System, established by the Brussels Convention of 14th June 1983 under the auspices of the Customs Co-operation Council (Harmonized System Code) is listed opposite an entry. This code may apply to both wastes and products. This Decision does not include items which are not wastes. Therefore, the code - used by customs officials in order to facilitate their procedures as well as by others - is only provided here to help in identifying wastes that are listed and subject to this Decision. However, corresponding official Explanatory Notes as issued by the Customs Co-operation Council should be used as interpretative guidance to identify wastes covered by generic headings. The indicative "ex" identifies a specific item contained within a heading of the Harmonized System Code.

The code in bold in the first column is the OECD code: it consists of two letters (one for the list: **Green**, **Amber** or **Red** and one for the category of waste: **A,B,C...**) followed by a number.

++ "Non-dispersible" does not include any wastes in the form of powder, sludge, dust or solid items containing encased hazardous waste liquids.

The following waste and scrap of non-ferrous metals and their alloys:

<b>GA120</b>	740400	Copper waste and scrap
<b>GA130</b>	750300	Nickel waste and scrap
<b>GA140</b>	760200	Aluminium waste and scrap
<b>GA150</b>	780200	Lead waste and scrap
<b>GA160</b>	790200	Zinc waste and scrap
<b>GA170</b>	800200	Tin waste and scrap
<b>GA180</b> ex	810191	Tungsten waste and scrap
<b>GA190</b> ex	810291	Molybdenum waste and scrap
<b>GA200</b> ex	810310	Tantalum waste and scrap
<b>GA210</b>	810420	Magnesium waste and scrap
<b>GA220</b> ex	810510	Cobalt waste and scrap
<b>GA230</b> ex	810600	Bismuth waste and scrap
<b>GA240</b> ex	810710	Cadmium waste and scrap
<b>GA250</b> ex	810810	Titanium waste and scrap
<b>GA260</b> ex	810910	Zirconium waste and scrap
<b>GA270</b> ex	811000	Antimony waste and scrap
<b>GA280</b> ex	811100	Manganese waste and scrap
<b>GA290</b> ex	811211	Beryllium waste and scrap
<b>GA300</b> ex	811220	Chromium waste and scrap
<b>GA310</b> ex	811230	Germanium waste and scrap
<b>GA320</b> ex	811240	Vanadium waste and scrap
<b>GA330</b>	ex 811291	Wastes and scrap of
<b>GA340</b>		- Hafnium
<b>GA350</b>		- Indium
<b>GA360</b>		- Niobium
<b>GA370</b>		- Rhenium
<b>GA380</b>		- Gallium
<b>GA390</b> ex	284430	- Thallium
		Thorium waste and scrap
<b>GA400</b> ex	280490	Selenium waste and scrap
<b>GA410</b> ex	280450	Tellurium waste and scrap
<b>GA420</b> ex	280530	Rare earths waste and scrap

**GB. METAL BEARING WASTES ARISING FROM MELTING, SMELTING AND REFINING OF METALS**

<b>GB010</b>	262011	Hard zinc spelter
<b>GB020</b>		Zinc containing drosses:
<b>GB021</b>		- Galvanizing slab zinc top dross ( > 90% Zn)
<b>GB022</b>		- Galvanizing slab zinc bottom dross ( > 92% Zn)
<b>GB023</b>		- Zinc die casting dross ( > 85% Zn)
<b>GB024</b>		- Hot dip galvanizers slab zinc dross (batch) ( > 92% Zn)
<b>GB025</b>		- Zinc skimmings
<b>GB030</b>		Aluminium skimmings
<b>GB040</b> ex	262090	Slags from precious metals and copper processing for further refining
<b>GB050</b> ex	262090	Tantalum bearing tin slags with less than 0.5 % tin

**GC. OTHER WASTES CONTAINING METALS**

<b>GC010</b>		Electrical assemblies consisting only of metals or alloys
<b>GC020</b>		Electronic scrap (e.g. printed circuit boards, electronic components, wire, etc.) and reclaimed electronic components suitable for base and precious metal recovery
<b>GC030</b> ex	890800	Vessels and other floating structures for breaking up, properly emptied of any cargo and other materials arising from the operation of the vessel which may have been classified as a dangerous substance or waste
<b>GC040</b>		Motor vehicle wrecks, drained of liquids
<b>GC050</b>		Spent catalysts:
<b>GC051</b>		- fluid catalytic cracking (FCC) catalysts
<b>GC052</b>		- precious metal bearing catalysts
<b>GC053</b>		- transition metal catalysts (e.g. chromium, cobalt, copper, iron, nickel, manganese, molybdenum, tungsten, vanadium, zinc).

**GC060** 261800 Granulated slag arising from the manufacture of iron and steel.

**GC070** ex 261900 Slag arising from the manufacture of iron and steel\*.

**GD. WASTES FROM MINING OPERATIONS: THESE WASTES TO BE IN NON-DISPERSIBLE FORM**

**GD010** ex 250490 Natural graphite waste

**GD020** ex 251400 Slate waste, whether or not roughly trimmed or merely cut, by sawing or otherwise

**GD030** 252530 Mica waste

**GD040** ex 252930 Leucite, nepheline and nepheline syenite waste

**GD050** ex 252910 Feldspar waste

**GD060** ex 252921 Fluospar waste  
ex 252922

**GD070** ex 281122 Silica wastes in solid form excluding those used in foundry operations

**GE. GLASS WASTE IN NON-DISPERSIBLE FORM**

**GE010** ex 700100 Cullet and other waste and scrap of glass except for glass from cathode-ray tubes and other activated glasses

**GE020** Fibre glass wastes

**GF. CERAMIC WASTES IN NON-DISPERSIBLE FORM**

**GF010** Ceramic wastes which have been fired after shaping, including ceramic vessels (before and/or after use)

**GF020** ex 811300 Cermet wastes and scrap (metal ceramic composites)

**GF030** Ceramic based fibres not elsewhere specified or included

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\* This entry covers the use of such slags as a source of titanium dioxide and vanadium.

**GG. OTHER WASTES CONTAINING PRINCIPALLY INORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND ORGANIC MATERIALS**

<b>GG010</b>		Partially refined calcium sulphate produced from flue gas desulphurisation (FGD)
<b>GG020</b>		Waste gypsum wallboard or plasterboard arising from the demolition of buildings
<b>GG030</b>	ex 2621	Bottom ash and slag tap from coal fired power plants
<b>GG040</b>	ex 2621	Coal fired power plants fly ash
<b>GG050</b>		Anode butts of petroleum coke and/or bitumen
<b>GG060</b>	ex 2803	Spent activated carbon
<b>GG070</b>	310320	Basic slag arising from the manufacture of iron or steel suitable for phosphate fertiliser and other use
<b>GG080</b>	ex 262100	Slag from copper production, chemically stabilized, having a high iron content (above 20%) and processed according to industrial specifications (e.g. DIN 4301 and DIN 8201) mainly for construction and abrasive applications
<b>GG090</b>		Sulphur in solid form
<b>GG100</b>		Limestone from the production of calcium cyanamide (having a pH less than 9)
<b>GG110</b>	ex 262100	Neutralized red mud from alumina production
<b>GG120</b>		Sodium, potassium, calcium chlorides
<b>GG130</b>		Carborundum (silicon carbide)
<b>GG140</b>		Broken concrete
<b>GG150</b>	ex 262090	Lithium-Tantalum and Lithium-Niobium containing glass scraps

**GH. SOLID PLASTIC WASTES:**

Including, but not limited to:

<b>GH010</b>	3915	Waste, parings and scrap of plastics of :
<b>GH011</b>	ex 391510	- polymers of ethylene
<b>GH012</b>	ex 391520	- polymers of styrene
<b>GH013</b>	ex 391530	- polymers of vinyl chloride
<b>GH014</b>	ex 391590	- polymers or co-polymers e.g.:
		. polypropylene
		. polyethylene terephthalate
		. acrylonitrile copolymer
		. butadiene copolymer

- . styrene copolymer
- . polyamides
- . polybutylene terephthalate
- . polycarbonates
- . polyphenylene sulphides
- . acrylic polymers
- . paraffins (C10-C13) \*
- . polyurethane (not containing chlorofluorocarbons)
- . polysiloxanes (silicones)
- . polymethyl methacrylate
- . polyvinyl alcohol
- . polyvinyl butyral
- . polyvinyl acetate
- . polymers of fluorinated ethylene (Teflon, PTFE)

- GH015** ex 391590 - resins or condensation products e.g.:
- . urea formaldehyde resins
  - . phenol formaldehyde resins
  - . melamine formaldehyde resins
  - . epoxy resins
  - . alkyd resins
  - . polyamides

**GI. PAPER, PAPERBOARD AND PAPER PRODUCT WASTES:**

- GI010** 4707 Waste and scrap of paper or paperboard:
- GI011** 470710 - of unbleached kraft paper or paperboard or of corrugated paper or paperboard
- GI012** 470720 - of other paper or paperboard, made mainly of bleached chemical pulp, not colored in the mass
- GI013** 470730 - of paper or paperboard made mainly of mechanical pulp (for example, newspapers, journals and similar printed matter)
- GI014** 470790 - other, including but not limited to:
- 1) laminated paperboard
  - 2) unsorted waste and scrap

**GJ. TEXTILE WASTES:**

- GJ010** 5003 Silk waste (including cocoons unsuitable for reeling, yarn waste and garnetted stock)
- GJ011** 500310 - not carded or combed
- GJ012** 500390 - other

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\* These cannot be polymerised and are used as plasticisers.



<b>GJ020</b>	5103	Waste of wool or of fine or coarse animal hair, including yarn waste but excluding garnetted stock
<b>GJ021</b>	510310 -	noils of wool or of fine animal hair
<b>GJ022</b>	510320 -	other waste of wool or of fine animal hair
<b>GJ023</b>	510330 -	waste of coarse animal hair
<b>GJ030</b>	5202	Cotton waste (including yarn waste and garnetted stock)
<b>GJ031</b>	520210 -	yarn waste (including thread waste)
<b>GJ032</b>	520291 -	garnetted stock
<b>GJ033</b>	520299 -	other
<b>GJ040</b>	530130	Flax tow and waste
<b>GJ050</b>	ex 530290	Tow and waste (including yarn waste and garnetted stock) of true hemp ( <i>Cannabis sativa</i> L.)
<b>GJ060</b>	ex 530390	Tow and waste (including yarn waste and garnetted stock) of jute and other textile bast fibres (excluding flax, true hemp and ramie)
<b>GJ070</b>	ex 530490	Tow and waste (including yarn waste and garnetted stock) of sisal and other textile fibres of the genus <i>Agave</i>
<b>GJ080</b>	ex 530519	Tow, noils and waste (including yarn waste and garnetted stock) of coconut
<b>GJ090</b>	ex 530529	Tow, noils and waste (including yarn waste and garnetted stock) of abaca ( <i>Manila hemp</i> or <i>Musa textilis</i> Nee)
<b>GJ100</b>	ex 530599	Tow, noils and waste (including yarn waste and garnetted stock) of ramie and other vegetable textile fibres, not elsewhere specified or included
<b>GJ110</b>	5505	Waste (including noils, yarn waste and garnetted stock) of man-made fibres
<b>GJ111</b>	550510 -	of synthetic fibres
<b>GJ112</b>	550520 -	of artificial fibres
<b>GJ120</b>	630900	Worn clothing and other worn textile articles
<b>GJ130</b>	ex 6310	Used rags, scrap twine, cordage, rope and cables and worn out articles of twine, cordage, rope or cables of textile materials
<b>GJ131</b>	ex 631010 -	sorted
<b>GJ132</b>	ex 631090 -	other

**GK. RUBBER WASTES:**

<b>GK010</b>	400400	Waste, parings and scrap of rubber (other than hard rubber) and granules obtained therefrom
<b>GK020</b>	401220	Used pneumatic tyres
<b>GK030</b>	ex 401700	Waste and scrap of hard rubber (for example, ebonite)

**GL. UNTREATED CORK AND WOOD WASTES:**

- GL010** ex 440130 Wood waste and scrap, whether or not agglomerated in logs, briquettes, pellets or similar forms
- GL020** 450190 Cork waste; crushed, granulated or ground cork

**GM. WASTES ARISING FROM AGRO-FOOD INDUSTRIES**

- GM070** ex 2307 Wine lees
- GM080** ex 2308 Dried and sterilized vegetable waste, residues and byproducts, whether or not in the form of pellets, of a kind used in animal feeding, not elsewhere specified or included
- GM090** 152200 Degras; residues resulting from the treatment of fatty substances or animal or vegetable waxes
- GM100** 050690 Waste of bones and horn-cores, unworked, defatted, simply prepared (but not cut to shape), treated with acid or degelatinised
- GM110** ex 051191 Fish waste
- GM120** 180200 Cocoa shells, husks, skins and other cocoa waste
- GM130** Wastes from the agro-food industry excluding by-products which meet national and international requirements and standards for human or animal consumption

**GN. WASTES ARISING FROM TANNING AND FELLMONGERY OPERATIONS AND LEATHER USE**

- GN010** ex 050200 Waste of pigs', hogs' or boars' bristles and hair or of badger hair and other brush making hair
- GN020** ex 050300 Horsehair waste, whether or not put up as a layer with or without supporting material
- GN030** ex 050590 Waste of skins and other parts of birds, with their feathers or down, of feathers and parts of feathers (whether or not with trimmed edges) and down, not further worked than cleaned, disinfected or treated for preservation
- GN040** ex 411000 Parings and other waste of leather or of composition leather, not suitable for the manufacture of leather articles, excluding leather sludges

**GO. OTHER WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH  
MAY CONTAIN METALS AND INORGANIC MATERIALS**

<b>GO010</b>	ex 050100	Waste of human hair
<b>GO020</b>		Waste straw
<b>GO030</b>		Deactivated fungus mycelium from penicillin production to be used as animal feed
<b>GO040</b>		Waste photographic film base and waste photographic film not containing silver
<b>GO050</b>		Single use cameras without batteries

#### Appendix 4

### **AMBER LIST OF WASTES+** (revised May 1993)

Regardless of whether or not wastes are included on this list, they may not be moved as Amber Tier wastes if they are contaminated by other materials to an extent which (a) increases the risks associated with the waste sufficiently to render it appropriate for inclusion in the red list, when taking into account the criteria in Annex 2, or (b) prevents the recovery of the waste in an environmentally sound manner.

#### **AA. METAL BEARING WASTES**

<b>AA010</b>	ex 261900	Dross, scalings and other wastes from the manufacture of iron and steel++
<b>AA020</b>	ex 262019	Zinc ashes and residues++
<b>AA030</b>	262020	Lead ashes and residues++
<b>AA040</b>	ex 262030	Copper ashes and residues++
<b>AA050</b>	ex 262040	Aluminium ashes and residues++
<b>AA060</b>	ex 262050	Vanadium ashes and residues++
<b>AA070</b>	262090	Ashes and residues++ containing metals or metal compounds not elsewhere specified or included
<b>AA080</b>		Thallium waste and residues++
<b>AA090</b>	ex 280480	Arsenic waste and residues++
<b>AA100</b>	ex 280540	Mercury waste and residues++

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+ Whenever possible, the code number of the Harmonized Commodity Description and Coding System, established by the Brussels Convention of 14th June 1983 under the auspices of the Customs Co-operation Council (Harmonized System Code) is listed opposite an entry. This code may apply to both wastes and products. This Decision does not include items which are not wastes. Therefore, the code - used by customs officials in order to facilitate their procedures as well as by others - is only provided here to help in identifying wastes that are listed and subject to this Decision. However, corresponding official Explanatory Notes as issued by the Customs Co-operation Council should be used as interpretative guidance to identify wastes covered by generic headings. The indicative "ex" identifies a specific item contained within a heading of the Harmonized System Code.

The code in bold in the first column is the OECD code: it consists of two letters (one for the list: **Green**, **Amber** or **Red** and one for the category of waste: **A,B,C...**) followed by a number.

++ This listing includes wastes in the form of ash, residue, slag, dross, skimming, scaling, dust, powder, sludge and cake, unless a material is expressly listed elsewhere.

<b>AA110</b>	Residues from alumina production not elsewhere specified or included
<b>AA120</b>	Galvanic sludges
<b>AA130</b>	Liquors from the pickling of metals
<b>AA140</b>	Leaching residues from zinc processing, dusts and sludges such as jarosite, hematite, goethite, etc.
<b>AA150</b>	Precious metal bearing residues in solid form which contain traces of inorganic cyanides
<b>AA160</b>	Precious metal ash, sludge, dust and other residues such as:
<b>AA161</b>	- ash from incineration of printed circuit boards
<b>AA162</b>	- photographic film ash
<b>AA170</b>	Lead-acid batteries, whole or crushed
<b>AA180</b>	Used batteries or accumulators, whole or crushed, other than lead-acid batteries, and waste and scrap arising from the production of batteries and accumulators, not elsewhere specified or included

**AB. WASTES CONTAINING PRINCIPALLY INORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND ORGANIC MATERIALS**

<b>AB010</b>	262100	Slag, ash and residues++, not elsewhere specified or included
<b>AB020</b>		Residues arising from the combustion of municipal/household wastes
<b>AB030</b>		Wastes from non-cyanide based systems which arise from surface treatment of metals
<b>AB040</b>	ex 700100	Glass waste from cathode-ray tubes and other activated glasses
<b>AB050</b>	ex 252921	Calcium fluoride sludge
<b>AB060</b>		Other inorganic fluorine compounds in the form of liquids or sludges
<b>AB070</b>		Sands used in foundry operations
<b>AB080</b>		Waste catalysts not on the green list
<b>AB090</b>		Waste hydrates of aluminium

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++ This listing includes wastes in the form of ash, residue, slag, dross, skimming, scaling, dust, powder, sludge and cake, unless a material is expressly listed elsewhere.

<b>AB100</b>	Waste alumina
<b>AB110</b>	Basic solutions
<b>AB120</b>	Inorganic halide compounds, not elsewhere specified or included
<b>AB130</b>	Used blasting grit
<b>AB140</b>	Gypsum arising from chemical industry processes
<b>AB150</b>	Unrefined calcium sulphite and calcium sulphate from flue gas desulphurisation (FGD)

**AC. WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND INORGANIC MATERIALS**

<b>AC010</b> ex 271390	Waste from the production/processing of petroleum coke and bitumen, excluding anode butts
<b>AC020</b>	Asphalt cement wastes
<b>AC030</b>	Waste oils unfit for their originally intended use
<b>AC040</b>	Leaded petrol (gasoline) sludges
<b>AC050</b>	Thermal (heat transfer) fluids
<b>AC060</b>	Hydraulic fluids
<b>AC070</b>	Brake fluids
<b>AC080</b>	Antifreeze fluids
<b>AC090</b>	Wastes from production, formulation and use of resins, latex, plasticisers, glues and adhesives
<b>AC100</b> ex 391590	Nitrocellulose
<b>AC110</b>	Phenols, phenol compounds including chlorophenol in the form of liquids or sludges
<b>AC120</b>	Polychlorinated naphthalenes
<b>AC130</b>	Ethers
<b>AC140</b>	Triethylamine catalysts for setting foundry sands
<b>AC150</b>	Chlorofluorocarbons
<b>AC160</b>	Halons
<b>AC170</b>	Treated cork and wood wastes
<b>AC180</b> ex 411000	Leather dust, ash, sludges and flours
<b>AC190</b>	Fluff - light fraction from automobile shredding
<b>AC200</b>	Organic phosphorous compounds
<b>AC210</b>	Non-halogenated solvents
<b>AC220</b>	Halogenated solvents

<b>AC230</b>	Halogenated or unhalogenated non-aqueous distillation residues arising from organic solvent recovery operations
<b>AC240</b>	Wastes arising from the production of aliphatic halogenated hydrocarbons (such as chloromethanes, dichloro-ethane, vinyl chloride, vinylidene chloride, allyl chloride and epichlorhydrin)
<b>AC250</b>	Surface active agents (surfactants)
<b>AC260</b>	Liquid pig manure; faeces
<b>AC270</b>	Sewage sludge

**AD. WASTES WHICH MAY CONTAIN EITHER INORGANIC OR ORGANIC CONSTITUENTS**

<b>AD010</b>	Wastes from the production and preparation of pharmaceutical products
<b>AD020</b>	Wastes from the production, formulation and use of biocides and phytopharmaceuticals
<b>AD030</b>	Wastes from the manufacture, formulation and use of wood preserving chemicals
<b>AD040</b>	Wastes that contain, consist of or are contaminated with any of the following: - inorganic cyanides, excepting precious metal-bearing residues in solid form containing traces of inorganic cyanides
<b>AD050</b>	- organic cyanides
<b>AD060</b>	Waste oils/water, hydrocarbons/water mixtures, emulsions
<b>AD070</b>	Wastes from production, formulation and use of inks, dyes, pigments, paints, lacquers, varnish
<b>AD080</b>	Wastes of an explosive nature, when not subject to specific other legislation

<b>AD090</b>	Wastes from production, formulation and use of reprographic and photographic chemicals and materials not elsewhere specified or included
<b>AD100</b>	Wastes from non-cyanide based systems which arise from surface treatment of plastics
<b>AD110</b>	Acidic solutions
<b>AD120</b>	Ion exchange resins
<b>AD130</b>	Single use cameras with batteries
<b>AD140</b>	Wastes from industrial pollution control devices for cleaning of industrial off-gases, not elsewhere specified or included
<b>AD150</b>	Naturally occurring organic material used as a filter medium (such as bio-filters)
<b>AD160</b>	Municipal/household wastes+

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+ In the Basel Convention household wastes -- defined as an "other waste" -- are controlled when they are subject to transfrontier movements. Therefore under this Decision all household wastes (and not just those which exhibit a hazardous characteristic) will be subject to the procedures in Section IV (Amber Tier). Until exporting countries have the legal authority to control transfrontier movements of household wastes, the provisions in Section II(4) will be applied.



## **Appendix 5**

### **RED LIST OF WASTES** (revised May 1993)

"Containing" or "contaminated with", when used in this list, mean that the substance referred to is present to an extent which (a) renders the waste hazardous when taking into account the criteria in Annex 2, or (b) renders it not suitable for submission to a recovery operation.

**RA. WASTES CONTAINING PRINCIPALLY ORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND INORGANIC MATERIALS**

- RA010** Wastes, substances and articles containing, consisting of or contaminated with polychlorinated biphenyl (PCB) and/or polychlorinated terphenyl (PCT) and/or polybrominated biphenyl (PBB), including any other polybrominated analogues of these compounds, at a concentration level of 50mg/kg or more
- RA020** Waste tarry residues (excluding asphalt cements) arising from refining, distillation and any pyrolytic treatment of organic materials

**RB. WASTES CONTAINING PRINCIPALLY INORGANIC CONSTITUENTS, WHICH MAY CONTAIN METALS AND ORGANIC MATERIALS**

- RB010** Asbestos (dusts and fibres)
- RB020** Ceramic based fibres of physico-chemical characteristics similar to those of asbestos

**RC. WASTES WHICH MAY CONTAIN EITHER INORGANIC OR ORGANIC CONSTITUENTS**

- RC010** Wastes that contain, consist of or are contaminated with any of the following :
- RC020** - any congener of polychlorinated dibenzo-furan
- any congener of polychlorinated dibenzo-dioxin
- RC030** Leaded anti-knock compound sludges
- RC040** Peroxides other than hydrogen peroxide

## Annex 2

### **CRITERIA**

#### A) Properties

- 1) Does the waste normally exhibit any of the hazardous characteristics listed in Table 5 of OECD Council Decision C(88)90(Final)? Furthermore, it is useful to know if the waste is legally defined as or considered to be a hazardous waste in one or more Member countries.
- 2) Is the waste typically contaminated?
- 3) What is the physical state of the waste?
- 4) What is the degree of difficulty of cleanup in the case of accidental spillage or mismanagement?
- 5) What is the economic value of the waste bearing in mind historical price fluctuations?

#### B) Management

- 6) Is there technological capability to recover the waste?
- 7) Is there a history of adverse environmental incidents arising from transfrontier movements of the waste or associated recovery operations?
- 8) Is the waste routinely traded through established channels and is that evidenced by commercial classification?
- 9) Is the waste usually moved internationally under the terms of a valid contract or chain of contracts?
- 10) What is the extent of reuse and recovery of the waste and how is any portion separated from the waste but not subject to recovery managed?
- 11) What are the overall environmental benefits arising from the recovery operations?



## **ANNEX B**

**OECD Council Decision C(88)90(Final) - Including Definition  
and Classification of Hazardous Wastes**

## DECISION OF THE COUNCIL

### on Transfrontier Movements of Hazardous Wastes\*

(adopted by the Council at its 685th Session on 27th May 1988)

THE COUNCIL,

Having regard to Article a) of the Convention on the Organisation for Economic Co-operation and Development of 14th December 1960;

Having regard to the Decision and Recommendation of the Council of 1st February 1984 on Transfrontier Movements of Hazardous Waste [C(83)180(Final)];

Having regard to the Decision-Recommendation of the Council of 5th June 1986 on Exports of Hazardous Wastes from the OECD Area [C(86)64(Final)];

Having regard to the Resolution of the Council of 20th June 1985 on International Cooperation Concerning Transfrontier Movements of Hazardous Wastes, by which it has been decided to develop an international system for effective control of transfrontier movements of hazardous wastes [C(85)100];

Convinced that the development of such a system requires a clear delineation of the wastes to be included in the system;

On the proposal of the Environment Committee;

I. DECIDES that for the purpose of implementing the above mentioned Council Acts on the control of transfrontier movements of hazardous wastes involving any Member country:

- a) the terms "wastes" and "disposal" shall be defined as specified in the Annex, which is an integral part of this Decision;
- b) those wastes which are referred to in the above-mentioned Council Acts as Hazardous Wastes shall consist of:
  - i) a core list of wastes as specified in the Annex; and
  - ii) all other wastes which are considered to be or are legally defined as hazardous wastes in the Member country from which these wastes are exported or in the Member country into which these wastes are imported;
- c) Member countries shall ensure that the wastes subject to control are classified in the manner specified in the Annex unless these wastes are subject to a transfrontier movement which takes place entirely among the parties to a bilateral or multilateral agreement or arrangement specifying a different method of classification.

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\* As amended on 28-29 July 1994 [Council Decision C(94)152/FINAL] with respect to Table Y, Table 3, Table 4 and Table 5 of the Annex.

II. DECIDES that the definitions of Waste and Hazardous Waste contained in the above-mentioned Council Acts are hereby repealed.

III. INSTRUCTS the Environment Committee:

- a) to take account of this Decision in developing the draft international agreement referred to in the Resolution on International Cooperation Concerning Transfrontier Movements of Hazardous Wastes [C(85)100];
- b) to report to the Council after an appropriate period not exceeding three years on the implementation of this Decision and to make any proposals it deems necessary for revisions of the Annex in the light of experience gained in its implementation.

**NOTE.** The Council agreed that "when implementing paragraph I b) ii) of this Decision Member countries shall not be obliged to enforce laws other than their own".

## ANNEX

A series of seven tables serves to define and classify the wastes to be controlled when subject to transfrontier movements. The tables cover the following:

Table Y - Core list of wastes to be controlled

Table 1 - Reasons why materials are intended for disposal

Table 2 - Disposal operations

Table 3 - Generic types of potentially hazardous wastes

Table 4 - Constituents of potentially hazardous wastes

Table 5 - List of hazardous characteristics

Table 6 - Activities which may generate potentially hazardous wastes

### DEFINITIONS

For the purposes of this Decision:

1. WASTES are materials other than radioactive materials intended for DISPOSAL, for reasons specified in Table 1.
2. DISPOSAL means any of the operations specified in Table 2.

### CORE LIST

For the purposes of this Decision those wastes which belong to any of the categories described in Table Y shall be controlled unless such wastes do not possess any of the hazardous characteristics listed in Table 5.

### CLASSIFICATION - INTERNATIONAL WASTE IDENTIFICATION CODE

Tables 1 to 6 contain code numbers which, taken together, provide a means of complete characterisation of wastes, through an international Waste Identification Code, in order to facilitate their control from generation to disposal.

The International Waste Identification Code (IWIC) is obtained as follows:

1. Choose the one or at most two major reason(s) why the wastes are intended for disposal from the list in Table 1. Mark down the reason(s) as Q... plus the code number(s).
2. Indicate the method which has been selected for disposal of the wastes by choosing the one operation from Table 2 which most closely describes the fate intended for the wastes. Mark down as D... or R... plus the code number from Table 2.A or Table 2.B as appropriate.
3. Decide whether the wastes are liquid (L), sludge (P) or solid (S). Powders are considered to be solids.

4. Select from Table 3, the one descriptor which most closely describes the generic form of the wastes. Mark down this descriptor as L..., P.. or S... plus the code number.
5. Examine Table 4; either the wastes do or do not contain one or more of the constituents listed. If none, mark down as code "CO". If one, mark down the appropriate code number. If more than one, then the best estimate for the group of no more than three entries in terms of descending hazard should be made. This estimate is meant to be qualitative and based upon the best judgment of the generator of the wastes; physical testing is not implied.
6. Select from Table 5 the one or at most two major potential hazard(s) presented by the wastes. Mark down as H... plus the code number(s).
7. Select from Table 6 the most appropriate single activity generating the wastes. Mark down as A... plus the code number.
8. The order of the International Waste Identification Code is the same as Tables 1 through 6. Main heads of the coding system are set off by double oblique lines. Where more than one entry from a specific Table is applicable, the plus sign (+) is used to separate the codes for each such entry:

Q\_\_\_ + \_\_\_//D,R\_\_\_//L,P,S\_\_\_//C\_\_\_ + \_\_\_ + \_\_\_//H\_\_\_ + \_\_\_//A\_\_\_



**TABLE Y**  
**CORE LIST OF WASTES TO BE CONTROLLED**  
**(revised May 1994)**

**Waste streams:**

Y1	Clinical wastes from medical care in hospitals, medical centers and clinics
Y2	Wastes from the production and preparation of pharmaceutical products
Y3	Waste pharmaceuticals, drugs and medicines
Y4	Wastes from the production, formulation and use of biocides and phytopharmaceuticals
Y5	Wastes from the manufacture, formulation and use of wood preserving chemicals
Y6	Wastes from the production, formulation and use of organic solvents
Y7	Wastes from heat treatment and tempering operations containing cyanides
Y8	Waste mineral oils unfit for their originally intended use
Y9	Waste oil/water, hydrocarbon/water mixtures, emulsions
Y10	Waste substances and articles containing or contaminated with polychlorinated biphenyls (PCB's) and/or polychlorinated terphenyls (PCT's) and/or polybrominated biphenyls (PBB's)
Y11	Waste tarry residues arising from refining, distillation and any pyrolytic treatment
Y12	Wastes from production, formulation and use of inks, dyes, pigments, paints, laquers, varnish
Y13	Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives
Y14	Waste chemical substances arising from research and development or teaching activities which are not identified and/or are new and whose effects on man and/or the environment are not known
Y15	Wastes of an explosive nature not subject to other legislation
Y16	Wastes from production, formulation and use of photographic chemicals and processing materials
Y17	Wastes resulting from surface treatment of metals and plastics
Y18	Residues arising from industrial waste disposal operations

**Wastes having as constituents:**

Y19	Metal carbonyls	
Y20	Beryllium; beryllium compounds	
Y21	Hexavalent chromium compounds	
Y22	Copper compounds	
Y23	Zinc compounds	
Y24	Arsenic; arsenic compounds	
Y25	Selenium; selenium compounds	
Y26	Cadmium; cadmium compounds	
Y27	Antimony; antimony compounds	
Y28	Tellurium; tellurium compounds	
Y29	Mercury; mercury compounds	
Y30	Thallium; thallium compounds	
Y31	Lead; lead compounds	
Y32	Inorganic fluorine compounds excluding calcium fluoride	
Y33	Inorganic cyanides	
Y34	Acidic solutions or acids in solid form	
Y35	Basic solutions or bases in solid form	
Y36	Asbestos (dust and fibres)	
Y37	Organic phosphorous compounds	
Y38	Organic cyanides	
Y39	Phenols; phenol compounds including chlorophenols	
Y40	Ethers	
Y41	Halogenated organic solvents	
Y42	Organic solvents excluding halogenated solvents	
Y43	Any congener of polychlorinated dibenzo-furan	
Y44	Any congener of polychlorinated dibenzo-p-dioxin	
Y45	Organohalogen compounds other than substances referred to in this Table (e.g. Y39, Y41, Y42, Y43, Y44)	

**TABLE 1**  
**REASONS WHY MATERIALS ARE INTENDED FOR DISPOSAL**

Q1	Production residues not otherwise specified below
Q2	Off-specification products
Q3	Products whose date for appropriate use has expired
Q4	Materials spilled, lost or having undergone other mishap including any materials, equipment etc. contaminated as result of the mishap
Q5	Materials contaminated or soiled as a result of planned actions, [e.g., residues from cleaning operations, packing materials, containers, etc.]
Q6	Unusable parts, [e.g., reject batteries, exhausted catalyst, etc.]
Q7	Substances which no longer perform satisfactorily, [e.g., contaminated acid, contaminated solvents, exhausted tempering salts, etc.]
Q8	Residues of industrial processes, [e.g., slags, still bottoms, etc.]
Q9	Residues from pollution abatement processes, [e.g., scrubber sludges, baghouse dusts, spent filters, etc.]
Q10	Machining/finishing residues, [e.g. lathe turnings, mill scales, etc.]
Q11	Residues from raw materials processing, [e.g., mining residues, oil field slops, etc.]
Q12	Adulterated materials, [e.g. oils contaminated with PCB, etc.]
Q13	Any materials, substances or products whose use has been banned by law in the country of exportation
Q14	Products for which there is no further use, [e.g., agriculture, household, office, commercial and shop discards, etc.]
Q15	Materials, substances or products resulting from remedial actions with respect to contaminated land
Q16	Any materials, substances or products which the generator or exporter declares to be wastes and which are not contained in the above categories

**TABLE 2**  
**DISPOSAL OPERATIONS**

(Table 2 is divided into two sections)

**2.A OPERATIONS WHICH DO NOT LEAD TO THE POSSIBILITY  
OF RESOURCE RECOVERY, RECYCLING, RECLAMATION, DIRECT RE-USE  
OR ALTERNATIVE USES**

Table 2.A is meant to encompass all such disposal operations which occur in practice, whether or not they are adequate from the point of view of environmental protection.

- |     |  |
|-----|--|
| D1  | Deposit into or onto land, [e.g., landfill, etc.]  |
| D2  | Land treatment, [e.g., biodegradation of liquid or sludgy discards in soils, etc.]   |
| D3  | Deep injection, [e.g., injection of pumpable discards into wells, salt domes or naturally occurring repositories, etc.]  |
| D4  | Surface impoundment, [e.g., placement of liquid or sludge discards into pits, ponds or lagoons, etc.]  |
| D5  | Specially engineered landfill, [e.g., placement into lined discrete cells which are capped and isolated from one another and the environment, etc.]  |
| D6  | Release into a water body except seas/oceans   |
| D7  | Release into seas/oceans including sea-bed insertion   |
| D8  | Biological treatment not specified elsewhere in this Table which results in final compounds or mixtures which are discarded by means of any of the operations in Table 2.A   |
| D9  | Physico chemical treatment not specified elsewhere in this Table which results in final compounds or mixtures which are discarded by means of any of the operations in Table 2.A, [e.g., evaporation, drying, calcination, etc.] |
| D10 | Incineration on land   |
| D11 | Incineration at sea  |
| D12 | Permanent storage, [e.g., emplacement of containers in a mine, etc.]   |
| D13 | Blending or mixing prior to submission to any of the operations in Table 2.A   |
| D14 | Repackaging prior to submission to any of the operations in Table 2.A  |
| D15 | Storage pending any of the operations in Table 2.A   |

**2.B OPERATIONS WHICH MAY LEAD TO  
RESOURCE RECOVERY, RECYCLING, RECLAMATION,  
DIRECT RE-USE OR ALTERNATIVE USES**

Table 2.B is meant to encompass all such operations with respect to materials considered to be or legally defined as hazardous wastes and which otherwise would have been destined for operations included in Table 2.A.

- |     |   |
|-----|---|
| R1  | USE as a fuel (other than in direct incineration) or other means to generate energy |
| R2  | Solvent reclamation/regeneration  |
| R3  | Recycling/reclamation of organic substances which are not used as solvents          |
| R4  | Recycling/reclamation of metals and metal compounds                                 |
| R5  | Recycling/reclamation of other inorganic materials                                  |
| R6  | Regeneration of acids or bases  |
| R7  | Recovery of components used for pollution abatement                                 |
| R8  | Recovery of components from catalysts   |
| R9  | Used oil re-refining or other reuses of previously used oil                         |
| R10 | Land treatment resulting in benefit to agriculture or ecological improvement        |
| R11 | Uses of residual materials obtained from any of the operations numbered R1-R10      |
| R12 | Exchange of wastes for submission to any of the operations numbered R1-R11          |
| R13 | Accumulation of material intended for any operation in Table 2B                     |

**TABLE 3****GENERIC TYPES OF POTENTIALLY HAZARDOUS WASTES\* (THESE MAY BE LIQUID, SLUDGE OR SOLID IN FORM)****(revised May 1994)**Code Number\*\*

1	Clinical wastes from medical care in hospitals, medical centers and clinics
2	Wastes from the production and preparation of pharmaceutical products
3	Waste pharmaceuticals, drugs and medicines
4	Wastes from the production, formulation and use of biocides and phytopharmaceuticals
5	Wastes from the manufacture, formulation and use of wood preserving chemicals
6	Wastes from the production, formulation and use of organic solvents
7	Wastes from heat treatment and tempering operations containing cyanides
8	Waste mineral oils unfit for their originally intended use
9	Waste oil/water, hydrocarbon/water mixtures, emulsions
10	Waste substances and articles containing or contaminated with polychlorinated biphenyls (PCB's) and/or polychlorinated terphenyls (PCT's) and/or polybrominated biphenyls (PBB's)
11	Waste tarry residues arising from refining, distillation and any pyrolytic treatment
12	Wastes from production, formulation and use of inks, dyes, pigments, paints, laquers, varnish
13	Wastes from production, formulation and use of resins, latex, plasticizers, glues/adhesives
14	Waste chemical substances arising from research and development or teaching activities which are not identified and/or are new and whose effects on man and/or the environment are not known
15	Wastes of an explosive nature not subject to other legislation
16	Wastes from production, formulation and use of photographic chemicals and processing materials
17	Wastes resulting from surface treatment of metals and plastics
18	Residues arising from industrial waste disposal operations

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\* If liquid, preface "L" is used  
 If sludge, preface "P" is used  
 If solid, preface "S" is used

\*\* Items 1 to 18 in Table 3 correspond to items Y1 to Y18 in Table Y.

<u>Code Number</u>	<u>Materials which contain any of the constituents listed in Table 4 and consisting of:</u>
19	Animal or vegetable soaps, fats, waxes
20	Non-halogenated organic substances not employed as solvents
21	Inorganic substances without metals
22	Ashes and/or cinders
23	Soil, sand, clay including dredging spoils
24	Non-cyanidic tempering salts
25	Metallic dust, powder
26	Spent catalyst materials
27	Liquids or sludges containing metals
28	Residue from pollution control operations, except (29) and (30)
29	Scrubber sludges
30	Sludges from water purification plants and waste water treatment plants
31	Decarbonization residue
32	Ion-exchange column residue
33	Sewage sludges
34	Wastewaters not otherwise taken into account within Table 3
35	Residue from cleaning of tanks and/or equipment
36	Contaminated equipment
37	Contaminated containers, whose contents included one or more of the constituents listed in Table 4
38	Batteries and other electrical cells
39	Vegetable oils
40	Materials which have been segregated from households and which also exhibit any of the characteristics listed in Table 5
41	Any other wastes which contain any of the constituents listed in Table 4

**TABLE 4**  
**CONSTITUENTS OF POTENTIALLY HAZARDOUS WASTES**  
**(revised May 1994)**

<u>Code number</u>	<u>Constituents*:</u>
C1	Beryllium, beryllium compounds [Y20]
C2	Vanadium compounds
C3	Hexavalent chromium compounds [Y21]
C4	Cobalt compounds
C5	Nickel compounds
C6	Copper compounds [Y22]
C7	Zinc compounds [Y23]
C8	Arsenic; arsenic compounds [Y24]
C9	Selenium; selenium compounds [Y25]
C10	Silver compounds
C11	Cadmium; cadmium compounds [Y26]
C12	Tin compounds
C13	Antimony; antimony compounds [Y27]
C14	Tellurium; tellurium compounds [Y28]
C15	Barium; barium compounds; excluding barium sulfate
C16	Mercury; mercury compounds [Y29]
C17	Thallium; thallium compounds [Y30]
C18	Lead; lead compounds [Y31]
C19	Inorganic sulphides
C20	Inorganic fluorine compounds excluding calcium fluoride [Y32]
C21	Inorganic cyanides [Y33]
C22	The following alkaline or alkaline earth metals: lithium, sodium, potassium, calcium, magnesium in uncombined form
C23	Acidic solutions or acids in solid form [Y34]
C24	Basic solutions or bases in solid form [Y35]
C25	Asbestos (dust and fibres) [Y36]
C26	Organic phosphorus compounds [Y37]
C27	Metal carbonyls [Y19]
C28	Peroxides
C29	Chlorates
C30	Perchlorates
C31	Azides
C32	Polychlorinated biphenyls (PCB's) and/or polychlorinated terphenyls (PCT's) and/or polybrominated biphenyls (PBB's) [Y10]
C33	Pharmaceutical or veterinary compounds
C34	Biocides and phyto-pharmaceutical substances
C35	Infectious substances
C36	Creosotes
C37	Isocyanates, thiocyanates

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\* The correspondence with Table Y is indicated in brackets.



C38	Organic cyanides [Y38]
C39	Phenols; phenol compounds including chlorophenols [Y39]
C40	Ethers [Y40]
C41	Halogenated organic solvents [Y41]
C42	Organic solvents, excluding halogenated solvents [Y42]
C43	Organohalogen compounds other than substances referred to in this Table [Y45]
C44	Aromatic compounds; polycyclic and heterocyclic organic compounds
C45	Organic nitrogen compounds; especially aliphatic amines
C46	Organic nitrogen compounds; especially aromatic amines
C47	Substances of an explosive character [Y15]
C48	Sulphur organic compounds
C49	Any congener of polychlorinated dibenzo-furan [Y43]
C50	Any congener of polychlorinated dibenzo-p-dioxin [Y44]
C51	Hydrocarbons and their oxygen, nitrogen and/or sulphur compounds not otherwise taken into account in Table 4

**TABLE 5**  
**LIST OF HAZARDOUS CHARACTERISTICS**  
**(revised May 1994)**

<u>Code Number*</u>	<u>Characteristics</u>
H1	<b>Explosive.</b> An explosive substance or waste is a solid or liquid substance or waste (or mixture of substances or wastes) which is in itself capable by chemical reaction of producing gas at such a temperature and pressure and at such a speed as to cause damage to the surroundings.
H3	<b>Flammable liquids.</b> The word "flammable" has the same meaning as "inflammable". Flammable liquids are liquids, or mixtures of liquids, or liquids containing solids in solution or suspension (for example, paints, varnishes, lacquers, etc. but not including substances or wastes otherwise classified on account of their dangerous characteristics) which give off a flammable vapour at temperatures of not more than 60.5°C, closed-cup test, or not more than 65.6°C, open-cup test. (Since the results of open-cup tests and of closed-cup tests are not strictly comparable and even individual results by the same test are often variable, regulations varying from the above figures to make allowance for such differences would be within the spirit of this definition.)
H4.1	<b>Flammable Solids.</b> Solids, or waste solids, other than those classed as explosives, which under conditions encountered in transport are readily combustible, or may cause or contribute to fire through friction.
H4.2	<b>Substances or Wastes Liable to Spontaneous Combustion.</b> Substances or wastes which are liable to spontaneous heating under normal conditions encountered in transport, or to heating up in contact with air, and being liable to catch fire.
H4.3	<b>Substances or Wastes which, in Contact with Water Emit Flammable Gases.</b> Substances or wastes which, by interaction with water, are liable to become spontaneously flammable or to give off flammable gases in dangerous quantities.
H5.1	<b>Oxidizing.</b> Substances or wastes which, while in themselves not necessarily combustible, may, generally by yielding oxygen cause, or contribute to, the combustion of other materials.
H5.2	<b>Organic Peroxides.</b> Organic substances or wastes which contain the bivalent-O-O-structure are thermally unstable substances which may undergo exothermic self-accelerating decomposition.

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\* Corresponds to hazard class numbering system included in the United Nations Recommendations on the Transport of Dangerous Goods (Orange Book) for H1 through H9; omissions of H2, H7 and H9 are deliberate.

- H6.1      **Poisonous (Acute).** Substances or wastes liable either to cause death or serious injury or to harm human health if swallowed or inhaled or by skin contact.
- H6.2      **Infectious substances.** Substances or wastes containing viable micro organisms or their toxins which are known or suspected to cause disease in animals or humans.
- H8        **Corrosives.** Substances or wastes which, by chemical action, will cause severe damage when in contact with living tissue, or, in the case of leakage, will materially damage, or even destroy, other goods or the means of transport; they may also cause other hazards.
- H10      **Liberation of toxic gases in contact with air or water.** Substances or wastes which, by interaction with air or water, are liable to give off toxic gases in dangerous quantities.
- H11      **Toxic (Delayed or chronic).** Substances or wastes which, if they are inhaled or ingested or if they penetrate the skin, may involve delayed or chronic effects, including carcinogenicity.
- H12      **Ecotoxic.** Substances or wastes which if released present or may present immediate or delayed adverse impacts to the environment by means of bioaccumulation and/or toxic effects upon biotic systems.
- H13      Capable, by any means, after disposal, of yielding another material, e.g., leachate, which possesses any of the characteristics listed above.

The potential hazards posed by certain types of wastes are not yet fully documented; objective tests to define quantitatively these hazards do not exist. Further research is necessary in order to develop means to characterise potential hazards posed to man and/or the environment by these wastes. Standardized tests have been derived with respect to pure substances and materials. Many Member countries have developed tests which can be applied to materials destined for disposal by means of operations listed in Table 2 in order to decide if these materials exhibit any of the characteristics listed in Table 5.

**TABLE 6**  
**ACTIVITIES WHICH MAY GENERATE**  
**POTENTIALLY HAZARDOUS WASTES**

Agriculture - Farming Industry

<u>A100</u>	Agriculture, forest management
A101	Cultivation
A102	Animal husbandry
A103	Forest management and forest exploitation (lumbering)
<u>A110</u>	Animal and vegetable products from the food sector
A111	Meat industry, slaughterhouses, butchery
A112	Dairy industry
A113	Animal and vegetable oil and grease industry
A114	Sugar industry
A115	Others
<u>A120</u>	Drink industry
A121	Distillation of alcohol and spirits
A122	Brewing of beer
A123	Manufacture of other drinks
<u>A130</u>	Manufacture of animal feed
<u>Energy</u>	
<u>A150</u>	Coal industry
A151	Production and preparation of coal and coal products
A152	Coking operations
<u>A160</u>	Petroleum industry
A161	Extraction of petroleum and natural gas
A162	Petroleum refining
A163	Storage of petroleum and products derived from refining of natural gas
<u>A170</u>	Production of electricity
A171	Central thermal facilities
A172	Central hydraulic facilities
A173	Central nuclear facilities
A174	Other central electricity facilities
<u>A180</u>	Production of water

## Metallurgy - Mechanical and Electrical Engineering

<u>A200</u>	Extraction of metallic ores
<u>A210</u>	Ferrous metallurgy
A211	Cast iron production (coke oven)
A212	Raw steel production (pig iron)
A213	Primary steel transformation (rolling mills)
<u>A220</u>	
A221	Production of alumina
A222	Aluminium metallurgy
A223	Metallurgy of lead and zinc
A224	Metallurgy of precious metals
A225	Metallurgy of other non-ferrous metals
A226	Ferro-alloy industry
A227	Manufacture of electrodes
<u>A230</u>	Foundry and metalworking operations
A231	Ferrous metal foundries
A232	Non-ferrous metal foundries
A233	Metalworking (not including machining)
<u>A240</u>	Mechanical, electrical and electronic construction
A241	Machining
A242	Thermal treatment
A243	Surface treatment
A244	Application of paint
A245	Assembly, wiring
A246	Production of batteries and dry cells
A247	Production of electrical wires and cables (cladding, plating, insulation)
A248	Production of electronic components

## Non-Metallic Minerals - Construction Materials - Ceramics - Glass

<u>A260</u>	Mining and quarrying of non-metallic minerals
<u>A270</u>	Construction materials, ceramics, glass
A271	Production of lime, cement and plaster
A272	Fabrication of ceramic products
A273	Fabrication of products containing asbestos-cement
A274	Production of other construction materials
A275	Glass industry
<u>A280</u>	Building, building sites, landscaping

### Primary Chemical Industry

<u>A300</u>	Production of primary chemicals and chemical feedstocks
A301	Chlorine industry
A351	Fertilizer fabrication
A401	Other manufacturing generators of primary inorganic industrial chemicals
A451	Petroleum and coal industry
A501	Manufacture of basic plastic materials
A551	Other primary organic chemical manufacture
A601	Chemical treatment of fats; fabrication of basic substances for detergents
A651	Fabrication of pharmaceuticals, pesticides, biocides, weed killers
A669	Other manufacture of finished chemicals

### Industries producing products based upon primary chemicals

<u>A700</u>	Production of inks, varnish, paints, glues
A701	Production of ink
A702	Production of paint
A703	Production of varnish
A704	Production of glue
<u>A710</u>	Fabrication of photographic products
A711	Production of photosensitive plates
A712	Fabrication of products for photographic treatments
<u>A720</u>	Perfume industry and fabrication of soap and detergent products
A721	Fabrication of soap products
A722	Fabrication of detergent products
A723	Fabrication of perfume products
<u>A730</u>	Finished rubber and plastic materials
A731	Rubber industry
A732	Finished plastic materials
<u>A740</u>	Fabrication of products based upon asbestos
<u>A750</u>	Production of powders and explosives

### Textiles and Leathers - Various Wood Based and Furniture Industries

<u>A760</u>	Textile and clothing industry
A761	Combing and carding of textile fibres
A762	Threading, spinning, weaving
A763	Bleaching, dyeing, printing
A764	Clothing manufacture
<u>A770</u>	Leather and hide industry
A771	Tanneries, tanning
A772	Fur trade
A773	Manufacture of shoes and other leather products
<u>A780</u>	Wood and furniture industry
A781	Sawmills, production of wood panels
A782	Manufacture of wood and furniture products
<u>A790</u>	Various related industries

### Paper - Cardboard - Printing

<u>A800</u>	Paper and cardboard industry
A801	Fabrication of paper pulp
A802	Manufacture of paper and cardboard
A803	Finished goods of paper and cardboard
<u>A810</u>	Printing, publishing, photographic laboratories
A811	Printing, publishing
A812	Photographic laboratories

#### Commercial Services

<u>A820</u>	Laundries, bleaching services, dyers
<u>A830</u>	Business enterprise
<u>A840</u>	Transport, automobile dealers and repair facilities
A841	Automobile dealers and automobile repair facilities
A842	Transportation
<u>A850</u>	Hotels, cafés, restaurants

#### General Services

<u>A860</u>	Health
A861	Health (Hospitals, medical centres, nursing homes, laboratories)
<u>A870</u>	Research
A871	Research including research laboratories)
<u>A880</u>	Administrative activities, offices

## Households

A890 Households

## Pollution Control - Waste Disposal

A900 Cleaning and maintenance of public areas

A910 Urban water treatment facilities

A920 Urban waste treatment

A930 Treatment of industrial effluents and wastes

A931 Incineration

A932 Physico-chemical treatment

A933 Biological treatment

A934 Solidification of wastes

A935 Collection and/or pretreatment of wastes

A936 Landbased disposal above, on or below the surface

## Regeneration - Recovery

A940 Regeneration activities

A941 Regeneration of oils

A942 Regeneration of solvents

A943 Regeneration of ion exchange resins

A950 Recovery activities





## **ANNEX C**

**OECD Transfrontier Movement of Waste Document  
- The Notification and Movement/Tracking Forms -**

# TRANSFRONTIER MOVEMENT OF WASTE — Notification Form

OECD

<b>1. Notification number</b> (same as notification for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<b>3. Notification concerning:</b> <div style="border: 1px solid black; padding: 5px;"> <input checked="" type="checkbox"/> <b>Import</b> </div>	
<b>2. Country of origin</b> (i.e. country of origin for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 5px;"> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <b>4. Single consignment</b>  <input type="checkbox"/> General notification  <input type="checkbox"/> Specific notification                         </div> <div style="width: 45%;"> <input type="checkbox"/> General notification  <input type="checkbox"/> Specific notification                         </div> </div> </div>		
<b>5. Country of destination</b> (i.e. country of destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 5px;"> <b>6. Pre-shipment</b> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Pre-shipment  <input type="checkbox"/> Pre-shipment                         </div> <div style="width: 45%;"> <input type="checkbox"/> Pre-shipment  <input type="checkbox"/> Pre-shipment                         </div> </div> </div>		
<b>7. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 5px;"> <b>8. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>		
<b>9. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 5px;"> <b>10. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>		
<b>11. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 5px;"> <b>12. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>		
<b>13. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; padding: 5px;"> <b>14. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>		
<b>15. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<div style="border: 1px solid black; padding: 5px;"> <b>16. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>	
<b>17. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<div style="border: 1px solid black; padding: 5px;"> <b>18. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>	
<b>19. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<div style="border: 1px solid black; padding: 5px;"> <b>20. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>	
<b>21. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<div style="border: 1px solid black; padding: 5px;"> <b>22. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>	
<b>23. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<div style="border: 1px solid black; padding: 5px;"> <b>24. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>	
<b>25. Waste description</b> (i.e. waste description and destination for waste shipment) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<div style="border: 1px solid black; padding: 5px;"> <b>26. Waste description</b> (i.e. waste description and destination for waste shipment)  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> <div style="width: 45%;"> <input type="checkbox"/> Waste description  <input type="checkbox"/> Waste description                         </div> </div> </div>	

Printed by the author, 1994, under the name of the author.

(1) Printed by the author, 1994, under the name of the author.

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## ANALYSIS OF OPERATIONS

- [illegible]

**NOTE:** If you are unable to find the information you need, please contact your local office.

TECHNICAL CODES: 33-1100

Country	Year	Value	Unit	Country	Year	Value	Unit
Algeria	1980	1.0	1000	Yemen	1980	1.0	1000
Algeria	1981	1.0	1000	Yemen	1981	1.0	1000
Algeria	1982	1.0	1000	Yemen	1982	1.0	1000
Algeria	1983	1.0	1000	Yemen	1983	1.0	1000
Algeria	1984	1.0	1000	Yemen	1984	1.0	1000
Algeria	1985	1.0	1000	Yemen	1985	1.0	1000
Algeria	1986	1.0	1000	Yemen	1986	1.0	1000
Algeria	1987	1.0	1000	Yemen	1987	1.0	1000
Algeria	1988	1.0	1000	Yemen	1988	1.0	1000
Algeria	1989	1.0	1000	Yemen	1989	1.0	1000
Algeria	1990	1.0	1000	Yemen	1990	1.0	1000
Algeria	1991	1.0	1000	Yemen	1991	1.0	1000
Algeria	1992	1.0	1000	Yemen	1992	1.0	1000
Algeria	1993	1.0	1000	Yemen	1993	1.0	1000
Algeria	1994	1.0	1000	Yemen	1994	1.0	1000
Algeria	1995	1.0	1000	Yemen	1995	1.0	1000
Algeria	1996	1.0	1000	Yemen	1996	1.0	1000
Algeria	1997	1.0	1000	Yemen	1997	1.0	1000
Algeria	1998	1.0	1000	Yemen	1998	1.0	1000
Algeria	1999	1.0	1000	Yemen	1999	1.0	1000
Algeria	2000	1.0	1000	Yemen	2000	1.0	1000
Algeria	2001	1.0	1000	Yemen	2001	1.0	1000
Algeria	2002	1.0	1000	Yemen	2002	1.0	1000
Algeria	2003	1.0	1000	Yemen	2003	1.0	1000
Algeria	2004	1.0	1000	Yemen	2004	1.0	1000
Algeria	2005	1.0	1000	Yemen	2005	1.0	1000
Algeria	2006	1.0	1000	Yemen	2006	1.0	1000
Algeria	2007	1.0	1000	Yemen	2007	1.0	1000
Algeria	2008	1.0	1000	Yemen	2008	1.0	1000
Algeria	2009	1.0	1000	Yemen	2009	1.0	1000
Algeria	2010	1.0	1000	Yemen	2010	1.0	1000
Algeria	2011	1.0	1000	Yemen	2011	1.0	1000
Algeria	2012	1.0	1000	Yemen	2012	1.0	1000
Algeria	2013	1.0	1000	Yemen	2013	1.0	1000
Algeria	2014	1.0	1000	Yemen	2014	1.0	1000
Algeria	2015	1.0	1000	Yemen	2015	1.0	1000
Algeria	2016	1.0	1000	Yemen	2016	1.0	1000
Algeria	2017	1.0	1000	Yemen	2017	1.0	1000
Algeria	2018	1.0	1000	Yemen	2018	1.0	1000
Algeria	2019	1.0	1000	Yemen	2019	1.0	1000
Algeria	2020	1.0	1000	Yemen	2020	1.0	1000
Algeria	2021	1.0	1000	Yemen	2021	1.0	1000
Algeria	2022	1.0	1000	Yemen	2022	1.0	1000
Algeria	2023	1.0	1000	Yemen	2023	1.0	1000
Algeria	2024	1.0	1000	Yemen	2024	1.0	1000
Algeria	2025	1.0	1000	Yemen	2025	1.0	1000
Algeria	2026	1.0	1000	Yemen	2026	1.0	1000
Algeria	2027	1.0	1000	Yemen	2027	1.0	1000
Algeria	2028	1.0	1000	Yemen	2028	1.0	1000

1. 何 11 月 23 日 20 時 30 分 至 21 時 30 分

THE UNIVERSITY OF CHICAGO

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# TRANSFRONTIER MOVEMENT OF WASTE – Movement/Tracking Form

OECD

<b>1. Non-Generator Name, address and registration / Permit number</b>  Name: _____ Address: _____ Contact person: _____		<b>3. Consignor's identification No.</b>  _____	<b>4. Serial number of movement</b>  _____
<b>2. Transporter Name, address and registration / Permit number</b>  Name: _____ Address: _____ Contact person: _____		<b>5. Disposal/recovery facility name, location and code</b>  Name: _____ Address: _____ Contact person: _____	
<b>6. Generator Name, address</b>  Name: _____ Address: _____ Contact person: _____		<b>7. Consignee Name, address</b>  Name: _____ Address: _____ Contact person: _____	
<b>8. Date of transfer</b> To: _____ From: _____		<b>9. Date of receipt</b> To: _____ From: _____	
<b>10. Name of waste</b>  _____		<b>11. Name of waste</b>  _____	
<b>12. Name of waste</b>  _____		<b>13. Name of waste</b>  _____	
<b>14. Name of waste</b>  _____		<b>15. Name of waste</b>  _____	
<b>16. Waste identification code</b> - 1. Country of origin (code) - 2. Country of destination (code) - 3. Waste identification code (code) - 4. Waste identification code (code) - 5. Waste identification code (code)		<b>17. Actual quantity</b>  _____ kg _____ tons	
<b>18. Waste description</b> _____		<b>19. Waste description</b> _____	
<b>20. Waste description</b> _____		<b>21. Waste description</b> _____	
<b>22. Waste description</b> _____		<b>23. Waste description</b> _____	
<b>24. Waste description</b> _____		<b>25. Waste description</b> _____	
<b>26. Waste description</b> _____		<b>27. Waste description</b> _____	
<b>28. Waste description</b> _____		<b>29. Waste description</b> _____	
<b>30. Waste description</b> _____		<b>31. Waste description</b> _____	
<b>32. Waste description</b> _____		<b>33. Waste description</b> _____	
<b>34. Waste description</b> _____		<b>35. Waste description</b> _____	
<b>36. Waste description</b> _____		<b>37. Waste description</b> _____	
<b>38. Waste description</b> _____		<b>39. Waste description</b> _____	
<b>40. Waste description</b> _____		<b>41. Waste description</b> _____	
<b>42. Waste description</b> _____		<b>43. Waste description</b> _____	
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<b>46. Waste description</b> _____		<b>47. Waste description</b> _____	
<b>48. Waste description</b> _____		<b>49. Waste description</b> _____	
<b>50. Waste description</b> _____		<b>51. Waste description</b> _____	
<b>52. Waste description</b> _____		<b>53. Waste description</b> _____	
<b>54. Waste description</b> _____		<b>55. Waste description</b> _____	
<b>56. Waste description</b> _____		<b>57. Waste description</b> _____	
<b>58. Waste description</b> _____		<b>59. Waste description</b> _____	
<b>60. Waste description</b> _____		<b>61. Waste description</b> _____	
<b>62. Waste description</b> _____		<b>63. Waste description</b> _____	
<b>64. Waste description</b> _____		<b>65. Waste description</b> _____	
<b>66. Waste description</b> _____		<b>67. Waste description</b> _____	
<b>68. Waste description</b> _____		<b>69. Waste description</b> _____	
<b>70. Waste description</b> _____		<b>71. Waste description</b> _____	
<b>72. Waste description</b> _____		<b>73. Waste description</b> _____	
<b>74. Waste description</b> _____		<b>75. Waste description</b> _____	
<b>76. Waste description</b> _____		<b>77. Waste description</b> _____	
<b>78. Waste description</b> _____		<b>79. Waste description</b> _____	
<b>80. Waste description</b> _____		<b>81. Waste description</b> _____	
<b>82. Waste description</b> _____		<b>83. Waste description</b> _____	
<b>84. Waste description</b> _____		<b>85. Waste description</b> _____	
<b>86. Waste description</b> _____		<b>87. Waste description</b> _____	
<b>88. Waste description</b> _____		<b>89. Waste description</b> _____	
<b>90. Waste description</b> _____		<b>91. Waste description</b> _____	
<b>92. Waste description</b> _____		<b>93. Waste description</b> _____	
<b>94. Waste description</b> _____		<b>95. Waste description</b> _____	
<b>96. Waste description</b> _____		<b>97. Waste description</b> _____	
<b>98. Waste description</b> _____		<b>99. Waste description</b> _____	
<b>100. Waste description</b> _____		<b>101. Waste description</b> _____	

Order of waste identification code: 1. Country of origin, 2. Country of destination, 3. Waste identification code, 4. Waste identification code, 5. Waste identification code

\*\*\*\*\*

## FEATURED PERFORMERS

- A1 1. The first item is a letter to the editor from a member of the public who  
 A2 is concerned about the safety of the road.  
 A3 The second item is a report on a recent accident which has caused the closure  
 A4 of the road for several days. The report includes details of the accident  
 A5 and the steps being taken to prevent a recurrence.  
 A6 The third item is a notice from the local council regarding the upcoming  
 A7 collection of household waste. The notice states that the collection will  
 A8 take place on the following dates and times.  
 A9 The fourth item is a notice from the local council regarding the upcoming  
 A10 collection of household waste. The notice states that the collection will  
 A11 take place on the following dates and times.  
 A12 The fifth item is a notice from the local council regarding the upcoming  
 A13 collection of household waste. The notice states that the collection will  
 A14 take place on the following dates and times.

1. 姓名: 王明  
 2. 性别: 男  
 3. 年龄: 25  
 4. 职业: 教师  
 5. 籍贯: 江苏  
 6. 民族: 汉族  
 7. 婚姻状况: 已婚  
 8. 子女情况: 1子1女  
 9. 健康状况: 良好  
 10. 兴趣爱好: 读书, 运动  
 11. 教育程度: 本科  
 12. 工作单位: 某某中学  
 13. 联系电话: 13800138000  
 14. 电子邮箱: wangming@example.com  
 15. 住址: 江苏省南京市鼓楼区某某路某某号

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED

2000-2001-2002-2003-2004-2005-2006-2007-2008-2009-2010-2011-2012-2013-2014-2015-2016-2017-2018-2019-2020-2021-2022-2023-2024-2025-2026-2027-2028-2029-2030-2031-2032-2033-2034-2035-2036-2037-2038-2039-2040-2041-2042-2043-2044-2045-2046-2047-2048-2049-2050-2051-2052-2053-2054-2055-2056-2057-2058-2059-2060-2061-2062-2063-2064-2065-2066-2067-2068-2069-2070-2071-2072-2073-2074-2075-2076-2077-2078-2079-2080-2081-2082-2083-2084-2085-2086-2087-2088-2089-2090-2091-2092-2093-2094-2095-2096-2097-2098-2099-2100-2101-2102-2103-2104-2105-2106-2107-2108-2109-2110-2111-2112-2113-2114-2115-2116-2117-2118-2119-2120-2121-2122-2123-2124-2125-2126-2127-2128-2129-2130-2131-2132-2133-2134-2135-2136-2137-2138-2139-2140-2141-2142-2143-2144-2145-2146-2147-2148-2149-2150-2151-2152-2153-2154-2155-2156-2157-2158-2159-2160-2161-2162-2163-2164-2165-2166-2167-2168-2169-2170-2171-2172-2173-2174-2175-2176-2177-2178-2179-2180-2181-2182-2183-2184-2185-2186-2187-2188-2189-2190-2191-2192-2193-2194-2195-2196-2197-2198-2199-2200-2201-2202-2203-2204-2205-2206-2207-2208-2209-2210-2211-2212-2213-2214-2215-2216-2217-2218-2219-2220-2221-2222-2223-2224-2225-2226-2227-2228-2229-2230-2231-2232-2233-2234-2235-2236-2237-2238-2239-2240-2241-2242-2243-2244-2245-2246-2247-2248-2249-2250-2251-2252-2253-2254-2255-2256-2257-2258-2259-2260-2261-2262-2263-2264-2265-2266-2267-2268-2269-2270-2271-2272-2273-2274-2275-2276-2277-2278-2279-2280-2281-2282-2283-2284-2285-2286-2287-2288-2289-2290-2291-2292-2293-2294-2295-2296-2297-2298-2299-2300-2301-2302-2303-2304-2305-2306-2307-2308-2309-2310-2311-2312-2313-2314-2315-2316-2317-2318-2319-2320-2321-2322-2323-2324-2325-2326-2327-2328-2329-2330-2331-2332-2333-2334-2335-2336-2337-2338-2339-2340-2341-2342-2343-2344-2345-2346-2347-2348-2349-2350-2351-2352-2353-2354-2355-2356-2357-2358-2359-2360-2361-2362-2363-2364-2365-2366-2367-2368-2369-2370-2371-2372-2373-2374-2375-2376-2377-2378-2379-2380-2381-2382-2383-2384-2385-2386-2387-2388-2389-2390-2391-2392-2393-2394-2395-2396-2397-2398-2399-2400-2401-2402-2403-2404-2405-2406-2407-2408-2409-2410-2411-2412-2413-2414-2415-2416-2417-2418-2419-2420-2421-2422-2423-2424-2425-2426-2427-2428-2429-2430-2431-2432-2433-2434-2435-2436-2437-2438-2439-2440-2441-2442-2443-2444-2445-2446-2447-2448-2449-2450-2451-2452-2453-2454-2455-2456-2457-2458-2459-2460-2461-2462-2463-2464-2465-2466-2467-2468-2469-2470-2471-2472-2473-2474-2475-2476-2477-2478-2479-2480-2481-2482-2483-2484-2485-2486-2487-2488-2489-2490-2491-2492-2493-2494-2495-2496-2497-2498-2499-2500-2501-2502-2503-2504-2505-2506-2507-2508-2509-2510-2511-2512-2513-2514-2515-2516-2517-2518-2519-2520-2521-2522-2523-2524-2525-2526-2527-2528-2529-2530-2531-2532-2533-2534-2535-2536-2537-2538-2539-2540-2541-2542-2543-2544-2545-2546-2547-2548-2549-2550-2551-2552-2553-2554-2555-2556-2557-2558-2559-2560-2561-2562-2563-2564-2565-2566-2567-2568-2569-2570-2571-2572-2573-2574-2575-2576-2577-2578-2579-2580-2581-2582-2583-2584-2585-2586-2587-2588-2589-2590-2591-2592-2593-2594-2595-2596-2597-2598-2599-2600-2601-2602-2603-2604-2605-2606-2607-2608-2609-2610-2611-2612-2613-2614-2615-2616-2617-2618-2619-2620-2621-2622-2623-2624-2625-2626-2627-2628-2629-2630-2631-2632-2633-2634-2635-2636-2637-2638-2639-2640-2641-2642-2643-2644-2645-2646-2647-2648-2649-2650-2651-2652-2653-2654-2655-2656-2657-2658-2659-2660-2661-2662-2663-2664-2665-2666-2667-2668-2669-2670-2671-2672-2673-2674-2675-2676-2677-2678-2679-2680-2681-2682-2683-2684-2685-2686-2687-2688-2689-2690-2691-2692-2693-2694-2695-2696-2697-2698-2699-2700-2701-2702-2703-2704-2705-2706-2707-2708-2709-2710-2711-2712-2713-2714-2715-2716-2717-2718-2719-2720-2721-2722-2723-2724-2725-2726-2727-2728-2729-2730-2731-2732-2733-2734-2735-2736-2737-2738-2739-2740-2741-2742-2743-2744-2745-2746-2747-2748-2749-2750-2751-2752-2753-2754-2755-2756-2757-2758-2759-2760-2761-2762-2763-2764-2765-2766-2767-2768-2769-2770-2771-2772-2773-2774-2775-2776-2777-2778-2779-2780-2781-2782-2783-2784-2785-2786-2787-2788-2789-2790-2791-2792-2793-2794-2795-2796-2797-2798-2799-2800-2801-2802-2803-2804-2805-2806-2807-2808-2809-2810-2811-2812-2813-2814-2815-2816-2817-2818

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## **ANNEX D**

### **Instructions for Filling Out the Notification and Movement/Tracking Forms**



## INSTRUCTIONS FOR COMPLETING THE DOCUMENT FOR TRANSFRONTIER MOVEMENT OF WASTES

### Introduction

Three International Agreements have been concluded to effect control over the movement of wastes between countries. These have been made under a European Community (EC) Regulation<sup>1</sup>, an OECD Council Decision<sup>2</sup> and the UNEP Basel Convention<sup>3</sup>. The EC Regulation and the Basel Convention are concerned with all international movements of waste, whereas the OECD Decision is concerned only with the movement of wastes destined for recovery operations at authorized facilities within the OECD area. Administrative controls are required to be exercised over the operation of all the agreements. The Document for Transfrontier Movement of Wastes, described here, comprises a Notification Form and a Movement/tracking Form. The Document has been designed to be compatible with the above mentioned Agreements. Consequently, not all blocks are necessarily applicable nor need to be completed and, in some cases the same entity may have more than one description in the document\*. It is also possible that national legislation may use different words in its interpretation of the text of the Agreements.

National competent authorities will be responsible for providing and issuing the Notification and Movement/tracking Forms. When doing so they will use a numbering system which allows a particular consignment of waste to be traced. The numbering system should be prefixed with the OECD country code given on the reverse of the Notification and Movement/tracking forms, (for other countries the ISO Standard 3166 abbreviations should be used).

It is recognised that countries may wish to issue the forms in a format which satisfies their national standards (normally ISO A4 as recommended by the United Nations). However, to facilitate their use internationally and to take into account the difference between ISO A4 and the paper size used in North America, the frame size of the forms should occupy an area not greater than 183 x 262 mm. with margins aligned at the top and the left of the paper.

### The Notification and Movement/Tracking Forms

The Document for Transfrontier Movement of Waste consists of two forms: the Notification Form and the Movement/tracking Form.

The Notification Form is intended to provide the Competent Authorities of concerned countries with the information they need to assess the acceptability of the proposed waste movement. The Form includes space for acknowledging receipt of the notification by the country of import/ destination and, when required, consent to the movement.

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\* *In the Notification form, for example, Blocks 16 and 21 are surrounded by bolded lines to indicate that they refer only to the OECD Decision and/or the EC Regulation, but not the Basel Convention.*

The Movement/tracking Form is intended to travel with the consignment at all times from leaving the waste generator/producer to its arrival at the disposal/recovery facility in another country. Space is provided on the Form for completing details of the first and any subsequent carriers of the consignment. Also, there are spaces to record passage of the consignment through Customs offices of all concerned countries. (While not strictly required by the International Agreements some countries may by national legislation require such procedures and information to ensure proper control). Finally, the Form is to be used by the disposal/recovery facility to certify that the consignment has been received, and give other details.

## **Circulation of the Document**

### **1. Notification Form**

Each Notification Form issued by a Competent Authority will have been given a code and number which is unique to the proposed movement of waste. On completion of Blocks 1 - 23 of the Notification Form, the Notifier/exporter of the waste needs to make photocopies **each of which must be signed individually**. **Three** signed copies [one for acknowledgement, one for consent (if applicable), one for filing] are then sent to the Competent Authority in the country of import/destination. At the same time, **two** signed copies [one for consent (if applicable), one for filing] are sent to the Competent Authority in the country of export/dispatch and any country of transit. Note that the competent authority in the country of export may, in accord with its national laws and regulations, decide to transmit the Notification Form in lieu of the Notifier/Exporter.

In instances where the Notification Form has not been duly completed, the Competent Authority should return the form to the Notifier/exporter within three working days of its receipt and ask that the missing information be provided. It will then be the responsibility of the Notifier/exporter to submit the required information to all concerned Competent Authorities.

Within three working days of its receipt the Competent Authority in the country of import/destination fills in Block 24 of the completed Form. It keeps one copy for its files, and returns one copy to the Notifier/exporter (with copies to Competent Authorities of other concerned countries), to acknowledge receipt of the duly completed notification. The third copy will be used to provide written consent (by completing Block 25) when such consent is required, or where the movement is subject to the tacit consent procedure but the Competent Authority decides to give its consent before the 30-day period has elapsed.

The Competent Authority in the country of export/dispatch and any country of transit keeps one copy of the Notification Form for its files and uses the second copy to provide written consent, when required or appropriate, by completing Block 25.

Objection to the movement may be made by a Competent Authority in a concerned country by writing "OBJECTION" in Block 25 of the Notification Form. The objecting country then returns the form to the Notifier and sends copies to Competent Authorities in other concerned countries. Block 26 on the back of the Notification Form or an annexed letter can be used to give explanations regarding the objection.

Written consent or objection (duly signed with original signatures) may be provided and dispatched direct by mail or telefax followed by mail.

## **2. Movement/Tracking Form**

A Movement/tracking Form must accompany each consignment of waste at all times. For multi-consignments of waste under the same general notification a separate Movement/tracking Form will be required for each consignment. At the time of shipment the Notifier/exporter completes a Movement/tracking Form, (Blocks 1 through 9 and 13 through 22). The first Carrier completes Block 10 of the Form. A copy is left with the Notifier/exporter for filing and the original accompanies the waste.

Where successive carriers are used for any part of the journey, details and signature of the new Carrier(s) and means of transport need to be entered in Block 11 or Block 12 as appropriate at the time of transfer. A copy of the Form so completed is left with the previous carrier. If more than three carriers are involved in a particular movement, an attachment giving the appropriate information shall be annexed to the form.

Space is provided on the back of the Movement/tracking Form, at Blocks 26, 27 and 28, for the Customs Offices of those countries for which it is required to indicate the passage of the waste across national borders.

When the waste has been received by the disposal/recovery facility an authorised representative of the facility completes Block 24 of the Movement/tracking Form and gives a copy of the Form so completed to the last Carrier. Within three working days of receiving the waste at the disposal/recovery facility, a signed copy of the Movement/tracking Form with Block 24 fully completed shall be sent to the Notifier/exporter and the Competent Authorities of the concerned countries.

When the waste is not consigned to a disposal/recovery facility, but is being accumulated for subsequent disposal/recovery elsewhere, the Consignee shall complete Block 23, give a copy to the last carrier and within three working days send copies to the Notifier/exporter and to the Competent Authorities of concerned countries. When, subsequently, the waste is sent for disposal/recovery an authorised representative of the facility on receiving the waste will complete Block 24 in each Movement/tracking form accompanying the waste and within three working days send copies to the Notifier/exporter and to the Competent Authorities of concerned countries. Block 25 is available to certify that disposal/recovery has been completed, when such certification is required.

## **3. Specific National Requirements**

The Movement/tracking Form is designed in order to provide all necessary details to follow the waste during its journey. In Block 22, the Notifier/exporter certifies either, that all necessary consents have been received (written consent), or no objection has been lodged by any of the concerned countries (tacit consent), or no consent was required (movement to a pre-authorised recovery facility).

However, for control purposes, some countries may require that the consignment be accompanied at all times by evidence that the transfrontier movement is authorized. In this case, the Carrier must possess the Notification Form (or a copy of it) with Block 24 completed (tacit consent after 30 days of the date of acknowledgement) or Blocks 24 and 25 completed (written consent). When one or several transit countries have also provided a written consent, the respective completed Notification Forms (or copies of them) also must accompany the consignment if so required.

In the case of general notification covering multiple movements when a country requires that the original of the Notification Form as completed by the Competent Authorities must accompany each consignment, the Notifier/exporter will have to obtain from concerned Competent Authorities as many completed copies of the Notification Forms as intended shipments.

### **General Requirements**

Typescript or block capitals in permanent ink should be used throughout when providing the information required in the Document. Signatures always should be written in permanent ink.

The Document has been designed so that whenever possible a code is used in its completion rather than language, thus avoiding the complication of translation. However, where language is used it must be acceptable to the Competent Authorities in the country of import/destination in particular, and other concerned countries.

A six digit format should be used to indicate the date, e.g. January 29 1995 should be shown as 29:01:95.

### **Specific Instructions for Entries on the Notification Form**

**Blocks 1, 2 & 7:** The Notifier/exporter will provide the full name, address, registration number (where appropriate) and telephone/facsimile number of each company concerned with the proposed movement, including a named person who can be contacted at any time in relation to any incident during transport of the consignment. Normally, the Consignee would be the Disposal/Recovery facility given in Block 8. Where this is not so, for example where operation R12 (exchange of wastes for submission to any of the operations R1 - R11), or R13 (accumulation of material intended for any operation R1 - R12) are involved, both Blocks 2 and 8 need to be completed. Note that the storage of wastes under operations R12 or R13 can take place only at premises authorised specifically for that purpose under national legislation. If in Block 7 more than one carrier is involved enter the words "See attached list" and append a list giving the information required for each carrier.

**Block 3:** A Competent Authority when issuing a notification document will provide a number according to its own system (this number will be printed on the form). Indicate the operation (disposal/recovery), whether the notification is intended to cover one or several shipments (general notification), and whether the consignment(s) is(are) destined to a facility which has been granted general pre-consent concerning the reception of certain Amber Tier wastes (pre-authorized facility), by marking the appropriate boxes. If appropriate, i.e. under the Basel Convention, reasons for export of the waste shall be given on an attached note.

**Blocks 4, 5 & 6:** For notification of a single consignment write "one" in Block 4 and give the intended date of its movement in Block 6. In Block 5 give the weight (in kg), or volume (in litres) of the consignment. Some countries may always require weight in kg. to be quoted. For multiple consignments the total quantity shipped must not exceed the quantity declared in Block 5. A consented Notification expires at the end of one year and intended dates of shipping consignments may not coincide with the period of consent granted by the competent authority. For multiple shipments the Basel Convention requires the approximate frequency and quantity in each shipment to be quoted.

**Block 8:** Give the required information on the disposal/recovery facility. If the disposer/recoverer is the consignee, write "Same as Block 2". Enter the registration number of the facility where one has been ascribed by the Competent Authority. Give the date when its authorization to operate ceases as the "limit of validity".

**Block 9:** Give the appropriate "R" or "D" code and number (see reverse of Form), and the technology to be employed. Only transfrontier movements of wastes for recovery destined to facilities specifying "R" Codes within the OECD area can be allowed under the OECD System. Include here additional information regarding the disposal/recovery operation, as appropriate, as required by some countries and especially the EC Regulation.

**Block 10:** Provide information required on the generator/producer of the waste where deemed necessary. While this information is not required for wastes destined for recovery under the OECD system, many countries may require it under their national legislation. If the Notifier/exporter is the generator/producer write in the Block "Same as Block 1". When the waste is produced by more than one generator enter the words "See attached list" and append a list providing the information required for each generator/producer. Some countries may accept that information concerning the generator/producer is given in a separate Annex which would be available to competent authorities only. Information on the processes which produced the waste and the location of their generation is not required under the OECD System.

**Block 11:** Give mode(s) of transport to be used (see reverse of Form for codes).

**Block 12:** Give type(s) of packaging to be used (see reverse of Form for codes).

**Block 13<sup>4</sup>:** Give the names by which the material is commonly known, the chemical names of constituents and their concentration.

**Block 14<sup>4</sup>:** Indicate physical characteristics of the waste at normal temperature and pressure (see reverse of form for codes)

**Block 15<sup>4</sup>:** Give the waste identification code by which the material is designated in the country of export/dispatch and, if known, in the country of import/destination. Give the designation of the waste according to an accepted uniform classification code such as the International Waste Identification Code (IWIC), the European Waste Catalogue (EWC) code, or any other code (to be specified). The OECD International Waste Identification Code (IWIC) is defined by OECD Council Decision C(88)90 (see Annex B).

**Block 16<sup>4</sup>:** Refers only to wastes going to recovery facilities under the OECD system. Put an "X" in the respective box if an "amber" or "red" listed waste is involved and give the OECD code for the waste involved. Put an "X" in the "other" box when the waste for recovery does not appear on any OECD list, or when a listed waste is controlled by one of the concerned countries differently than provided for in the OECD Decision. In this case full details must be provided. The OECD lists are reproduced in Annex A.

**Block 17<sup>5</sup>:** The numbers prefixed by "Y" accord with "categories of wastes to be controlled" given in Annexes I and II of the Basel Convention. "Y" numbers are not required by the OECD System.

**Block 18<sup>5</sup>:** The numbers prefixed by "H" correspond to the list of hazardous characteristics given in Annex III of the Basel Convention. "H" numbers are not required by the OECD System.

**Block 19<sup>4</sup>:** The UN classes, UN identification numbers (i.e. 4 digit numbers) and UN proper shipping names are given in the UN Recommendations on the Transport of Dangerous Goods<sup>6</sup>. While these are not required specifically by the OECD Decision, the UN Recommendations provide conditions under which dangerous goods are suitable for transportation internationally.

**Block 20:** Give the country code for each country through which the consignment will be transported (see reverse of Form for country codes). Give the name of the border crossing or port, and where applicable, the customs office code number as the point of entry to or exit from a particular country. Give the code number of the respective Competent Authority in the country of export/dispatch, import/destination and any country of transit.(\*)

If more than three transit countries are involved in a particular movement, an attachment containing the appropriate information shall be annexed to the form.

**Block 21:** Completion required for consignments entering, passing through or leaving Member States of the European Community.

**Block 22:** Annexes refer to lists attached (e.g. Blocks 7,9,10 and 16) and any supplementary information supplied with the Notification Form. It is essential that each Annex is headed by the reference number of the Notification Form to which it relates.

**Block 23:** Each copy of the Notification Form is to be signed and dated by the Notifier/exporter before being forwarded to the Competent Authorities of concerned countries. The name of the authorized representative of the Notifier/exporter should also appear in capital letters to accompany the signature. Some countries may require proof of insurance, other financial guarantees and a contract to accompany the Notification Form (information always required by Basel Convention).

**Block 24:** For use by Competent Authority in the country of import/destination to acknowledge receipt of the Notification Form.

**Block 25:** For use by Competent Authorities of any concerned country when providing written consent to a transfrontier movement of waste. Indicate the name of the country (see reverse of Form for country codes), the date at which the consent is provided and the date at which it expires. If the movement is subject to specific conditions, place an "X" in the appropriate box and complete Block 26 on the reverse of the Form.

If a Competent Authority wishes to object to the movement it should do so by writing "OBJECTION" in Block 25. Block 26, or a separate letter, may then be used to explain the objection.

**Block 26:** This Block, on the reverse of the Notification Form, can be used by the Competent Authorities, instead of a separate letter, when providing specific conditions to their written consent to the movement or to explain their objection to the movement.

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(\*) See Annex F.

### Specific Instructions for Entries on the Movement/Tracking Form

**Blocks 1, 2, 8, 9:** Reproduce the same information as given for corresponding Blocks in the Notification Form. When the Notifier/exporter is not the shipper of the waste (i.e. those who physically undertake the shipment), give details of the Notifier/exporter in Block 1 and on a separate sheet of paper give the required information on the shipper.

**Block 3:** Enter the Notification N° to which the particular consignment refers. This is copied from Block 3 of the Notification Form.

**Block 4:** For multiple movements enter the serial number of the shipment in relation to the total intended number of shipments shown at Block 4 on the Notification Form, for example, 4/11 for the fourth shipment of eleven intended shipments under a general notification.

**Blocks 5, 6, 7:** Enter the name, address, registration number (where applicable), and telephone/facsimile number(s) of each actual carrier. Where more than three carriers are involved appropriate information on each should be appended to the Form.

**Block 10:** The identity (licence, registered name or registration number) of the means of transport being used, the date of transfer and a signature is to be provided by the Carrier's Representative taking possession of the consignment. A copy of the signed Form is to be retained by the Notifier/exporter.

**Blocks 11, 12:** At each successive transfer of the consignment to another carrier, the name and address, identity (licence, registered name or registration number) of means of transport being used, the date of transfer, and signature of the representative of the new carrier is to be provided on taking possession of the consignment. A copy of the signed Form is to be retained by the previous Carrier.

**Blocks 13, 14, 15, 16, 19:** Reproduce the information given at corresponding Blocks in the Notification Form<sup>7</sup>.

**Block 17:** Enter the actual weight (in kg) or the actual volume in (litres) of the consignment being transported and wherever possible attach copies of weighbridge tickets. Some countries may always require the weight to be given.

**Block 18:** Enter the number of packages making up the consignment.

**Block 20:** Indicate any special precautions concerning the consignment, e.g. producers handling instructions for employees, health and safety information, including dealing with spillages, Transport Emergency Cards, etc. Annexes should be used if necessary.

**Block 21:** Enter the date the consignment begins to be transported to the consignee.

**Block 22:** Enter at the time of shipment, the appropriate certification, name and signature of the authorized representative of the Notifier/exporter, and the date.

**Block 23:** To be completed by the Consignee on receipt of a shipment of waste to be stored pending its transfer to a disposal/recovery facility. A signed copy of the Movement/tracking form is given to the last carrier. If the shipment is rejected, for any reason, the Consignee must immediately contact his competent authority. Otherwise, within three working days, signed copies of the Movement/tracking Form are sent to the Notifier/exporter and the competent authority in all concerned countries. The original of the Movement/tracking Form is to be kept and shall accompany the waste when it is sent to the disposal/recovery facility.

**Block 24:** To be completed by the authorised representative of the disposal/recovery facility on receipt of a transfrontier consignment of waste. A signed copy of the Movement/tracking Form is given to the last carrier. If the shipment is rejected, for any reason, the representative of the disposal/recovery facility must immediately contact his competent authority. Otherwise, within three working days, signed copies of the Movement/tracking Form are sent to the Notifier and the Competent Authority in concerned countries. The section "Disposal/recovery to be completed by" is not required by the OECD System.

**Block 25:** Not required by the OECD System. Under EC Regulation copies of the Form with Block 25 completed are to be sent to the Notifier/exporter and Competent Authorities in concerned countries within 180 days certifying completion of disposal/recovery of the waste.

**Block 26, 27, 28:** Not specifically required by the OECD System. These are for control by Customs offices at the borders of country of export/dispatch, transit and import/destination. The customs office at the border where waste exits the European Community must send a copy of the Movement/Tracking Form to the Competent Authority which issued the authorization for export.



## **NOTES**

1. The European Community (EC) Regulations refers to Regulation N° 259/93 entitled Regulation on the Supervision and Control of Shipments of Waste within, into and out of the European Community, OJ N° L30, 6.2 1993, COMMISSION OF THE EUROPEAN COMMUNITY.
2. OECD Council Decision C(92)39/FINAL Concerning the Control of Transfrontier Movements of Wastes Destined for Recovery Operations, 30 March 1992, ORGANISATION FOR ECONOMIC COOPERATION AND DEVELOPMENT.
3. Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, FINAL ACT 21 March 1989, UNITED NATIONS ENVIRONMENT PROGRAMME.
4. Some countries allow the use of a single Notification Form to cover a number of wastes. The common names, identification codes, classification numbers, UN numbers and proper shipping names of these wastes may be somewhat different, however. In this case, write "see Annex" in the appropriate Blocks and provide the required information on a separate sheet of paper.
5. See Annex B for corresponding lists in OECD Council Decision C(88)90(Final).
6. Recommendations on the Transport of Dangerous Goods, eighth revised edition, (ST/SG/AC.10/1/Rev.8), UNITED NATIONS New York, 1993.
7. In case a number of different wastes were covered by the same Notification Form (see Note 4 above), these Blocks must contain details of the particular waste being transported.

## **ANNEX E**

### **Guidelines for the Preparation of Contracts**

**Guidelines for the preparation of contracts for  
shipments of waste destined for recovery operations  
under the OECD Decision C(92)39\***

Contracts for the shipment of waste destined for recovery operations should not only clearly set out the rights and obligations of each party but also demonstrate a positive and mutually responsible approach. The objective is to obtain a contract that is acceptable, clear, workable and fair to both parties. The following elements should be considered for inclusion in the contract:

Note:     Company A: Deliverer of waste shipment  
          Company B: Receiver of waste shipment

**1.         SCOPE OF COMPANY B'S SERVICES**

Specify that Company B will accept the waste, providing that the shipment meets certain agreed on quality requirements (within agreed levels of tolerance) described in section 3 or in an annex. Specify that waste recovery facility (Company B) is authorized or permitted to handle the waste.

**2.         TERM OF CONTRACT**

Specify the time period of the contract and, if appropriate, the frequency shipments.

**3.         WASTE MATERIAL AND METHOD OF RECOVERY**

Provide a description of the waste material and the recovery process for which it is destined, as well as the nature and quantity of wastes arising from the recovery operation and their destination. Provide a description of the intended use of the reclaimed material (or product).

Specify the mutually agreed acceptance criteria.

**4.         QUANTITY**

Specify the quantity of waste that Company B agrees to receive.

**5.         DELIVERY**

Specify the type of packaging that will be used in transport.

Specify that the Company A will inform Company B of the date of any shipments pursuant to the contract and the expected date of arrival to Company B's premises.

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\*         National regulations may lead to different requirements with regard to the contents of the contract.

6. TITLE

Specify the conditions for transfer of ownership and of liability, clearly defining the areas covered, e.g. loss, theft, damage (clarify what is meant by "damage").

7. INSPECTION AND ACCEPTANCE

Specify which party shall be responsible for ensuring the inspection, sampling, and analysis, as well as the procedures to follow in case of non-conformity of the sample and/or rejection of the shipment. Specify, which party shall bear the cost of each of these items. Specify alternative management and chain of responsible parties, in cases where Company B cannot accept the waste.

8. REPRESENTATIONS AND WARRANTS OF COMPANY A AND/OR B

Specify the representations and warrants of each company, e.g. concerning the competence of each party and their license/authorization to operate.

9. LIABILITY

Clearly delineate the responsibility for third party property damage and any other specific damages (e.g. trading loss, loss of profit, etc.)

10. INSURANCE

Specify that the companies carry the insurance required by law, or other insurance mutually agreed upon.

11. LAW AND ARBITRATION

Specify the procedures and time frame to be followed in the event of a dispute arising from the contract (e.g. agreement to pursue a non-legal resolution to the dispute or to refer the dispute to an arbitration tribunal such as the ICC Court of Arbitration).

**NOTE: The following section should be separated from the standard terms and conditions of the contract before the latter can become a public document.**

12. FINANCIAL ARRANGEMENTS

Specify the compensation.

Specify the terms and conditions for adjustment of the compensation.<sup>4</sup>